



U.S. Department of Justice

Federal Bureau of Investigation
Washington, D.C. 20535

November 19, 2019

MR. JOHN GREENEWALD JR.
SUITE 1203
27305 WEST LIVE OAK ROAD
CASTAIC, CA 91384

FOIPA Request No.: 1451834-000
Subject: BROADY, JOHN G.

Dear Mr. Greenewald:

The enclosed 931 pages of records were determined to be responsive to your subject and were previously processed and released pursuant to the Freedom of Information Act (FOIA). Please see the selected paragraphs below for relevant information specific to your request as well as the enclosed FBI FOIPA Addendum for standard responses applicable to all requests.

☒ In an effort to provide you with responsive records as expeditiously as possible, we are releasing documents from previous requests regarding your subject. We consider your request fulfilled. Since we relied on previous results, additional records potentially responsive to your subject may exist. If this release of previously processed material does not satisfy your request, you may request an additional search for records. Submit your request by mail or fax to – Work Process Unit, 170 Marcel Drive, Winchester, VA 22602, fax number (540) 868-4997. Please cite the FOIPA Request Number in your correspondence.

☐ Please be advised that additional records responsive to your subject exist. If this release of previously processed material does not satisfy your request, you must advise us that you want the additional records processed. Please submit your response within thirty (30) days by mail or fax to—Work Processing Unit, 170 Marcel Drive, Winchester, VA 22602, fax number (540) 868-4997. Please cite the FOIPA Request Number in your correspondence. **If we do not receive your decision within thirty (30) days of the date of this notification, your request will be closed.**

☐ One or more of the enclosed records were transferred to the National Archives and Records Administration (NARA). Although we retained a version of the records previously processed pursuant to the FOIA, the original records are no longer in our possession.

If this release of the previously processed material does not satisfy your request, you may make a request to NARA at the following address:

National Archives and Records Administration
8601 Adelphi Road
College Park, MD 20740-6001

☐ Records potentially responsive to your request were transferred to the National Archives and Records Administration (NARA), and they were not previously processed pursuant to the FOIA. You may file a request with NARA using the address above.

☐ One or more of the enclosed records were destroyed. Although we retained a version of the records previously processed pursuant to the FOIA, the original records are no longer in our possession. Record retention and disposal is carried out under supervision of the National Archives and Records Administration (NARA), Title 44, United States Code, Section 3301 as implemented by Title 36, Code of Federal Regulations, Part 1228; Title

44, United States Code, Section 3310 as implemented by Title 36, Code of Federal Regulations, Part 1229.10.

- ☐ Records potentially responsive to your request were destroyed. Since this material could not be reviewed, it is not known if it was responsive to your request. Record retention and disposal is carried out under supervision of the National Archives and Records Administration (NARA) according to Title 44 United States Code Section 3301, Title 36 Code of Federal Regulations (CFR) Chapter 12 Sub-chapter B Part 1228, and 36 CFR 1229.10.
- ☒ Documents or information referred to other Government agencies were not included in this release.

Please refer to the enclosed FBI FOIPA Addendum for additional standard responses applicable to your request. **"Part 1"** of the Addendum includes standard responses that apply to all requests. **"Part 2"** includes additional standard responses that apply to all requests for records on individuals. **"Part 3"** includes general information about FBI records that you may find useful. Also enclosed is our Explanation of Exemptions.

For questions regarding our determinations, visit the www.fbi.gov/foia website under "Contact Us." The FOIPA Request Number listed above has been assigned to your request. Please use this number in all correspondence concerning your request.

You may file an appeal by writing to the Director, Office of Information Policy (OIP), United States Department of Justice, Sixth Floor, 441 G Street, NW, Washington, D.C. 20001, or you may submit an appeal through OIP's FOIA online portal by creating an account on the following website: <https://www.foiaonline.gov/foiaonline/action/public/home>. Your appeal must be postmarked or electronically transmitted within ninety (90) days from the date of this letter in order to be considered timely. If you submit your appeal by mail, both the letter and the envelope should be clearly marked "Freedom of Information Act Appeal." Please cite the FOIPA Request Number assigned to your request so it may be easily identified.

You may seek dispute resolution services by contacting the Office of Government Information Services (OGIS). The contact information for OGIS is as follows: Office of Government Information Services, National Archives and Records Administration, 8601 Adelphi Road-OGIS, College Park, Maryland 20740-6001, e-mail at ogis@nara.gov; telephone at 202-741-5770; toll free at 1-877-684-6448; or facsimile at 202-741-5769. Alternatively, you may contact the FBI's FOIA Public Liaison by emailing foipaquestions@fbi.gov. If you submit your dispute resolution correspondence by email, the subject heading should clearly state "Dispute Resolution Services." Please also cite the FOIPA Request Number assigned to your request so it may be easily identified.

Sincerely,



David M. Hardy
Section Chief,
Record/Information
Dissemination Section
Information Management Division

Enclosure(s)

FBI FOIPA Addendum

As referenced in our letter responding to your Freedom of Information/Privacy Acts (FOIPA) request, the FBI FOIPA Addendum includes information applicable to your request. Part 1 of the Addendum includes standard responses that apply to all requests. Part 2 includes additional standard responses that apply to all requests for records on individuals. Part 3 includes general information about FBI records. For questions regarding Parts 1, 2, or 3, visit the www.fbi.gov/foia website under "Contact Us." Previously mentioned appeal and dispute resolution services are also available at the web address.

Part 1: The standard responses below apply to all requests:

- (i) **5 U.S.C. § 552(c).** Congress excluded three categories of law enforcement and national security records from the requirements of the FOIA [5 U.S.C. § 552(c) (2006 & Supp. IV (2010))]. FBI responses are limited to those records subject to the requirements of the FOIA. Additional information about the FBI and the FOIPA can be found on the www.fbi.gov/foia website.
- (ii) **National Security/Intelligence Records.** The FBI can neither confirm nor deny the existence of national security and foreign intelligence records pursuant to FOIA exemptions (b)(1), (b)(3), and PA exemption (j)(2) as applicable to requests for records about individuals [5 U.S.C. §§ 552/552a (b)(1), (b)(3), and (j)(2); 50 U.S.C § 3024(i)(1)]. The mere acknowledgment of the existence or nonexistence of such records is itself a classified fact protected by FOIA exemption (b)(1) and/or would reveal intelligence sources, methods, or activities protected by exemption (b)(3) [50 USC § 3024(i)(1)]. This is a standard response and should not be read to indicate that national security or foreign intelligence records do or do not exist.

Part 2: The standard responses below apply to all requests for records on individuals:

- (i) **Requests for Records about any Individual—Watch Lists.** The FBI can neither confirm nor deny the existence of any individual's name on a watch list pursuant to FOIA exemption (b)(7)(E) and PA exemption (j)(2) [5 U.S.C. §§ 552/552a (b)(7)(E), (j)(2)]. This is a standard response and should not be read to indicate that watch list records do or do not exist.
- (ii) **Requests for Records for Incarcerated Individuals.** The FBI can neither confirm nor deny the existence of records which could reasonably be expected to endanger the life or physical safety of any incarcerated individual pursuant to FOIA exemptions (b)(7)(E), (b)(7)(F), and PA exemption (j)(2) [5 U.S.C. §§ 552/552a (b)(7)(E), (b)(7)(F), and (j)(2)]. This is a standard response and should not be read to indicate that such records do or do not exist.

Part 3: General Information:

- (i) **Record Searches.** The Record/Information Dissemination Section (RIDS) searches for reasonably described records by searching those systems or locations where responsive records would reasonably be found. A reasonable search normally consists of a search for main files in the Central Records System (CRS), an extensive system of records consisting of applicant, investigative, intelligence, personnel, administrative, and general files compiled and maintained by the FBI in the course of fulfilling law enforcement, intelligence, and administrative functions. The CRS spans the entire FBI organization and encompasses the records of FBI Headquarters (FBIHQ), FBI Field Offices, and FBI Legal Attaché Offices (Legats) worldwide and includes Electronic Surveillance (ELSUR) records. For additional information about our record searches visit www.fbi.gov/services/information-management/foipa/requesting-fbi-records.
- (ii) **FBI Records.** Founded in 1908, the FBI carries out a dual law enforcement and national security mission. As part of this dual mission, the FBI creates and maintains records on various subjects; however, the FBI does not maintain records on every person, subject, or entity.
- (iii) **Requests for Criminal History Records or Rap Sheets.** The Criminal Justice Information Services (CJIS) Division provides Identity History Summary Checks – often referred to as a criminal history record or rap sheets. These criminal history records are not the same as material in an investigative "FBI file." An Identity History Summary Check is a listing of information taken from fingerprint cards and documents submitted to the FBI in connection with arrests, federal employment, naturalization, or military service. For a fee, individuals can request a copy of their Identity History Summary Check. Forms and directions can be accessed at www.fbi.gov/about-us/cjis/identity-history-summary-checks. Additionally, requests can be submitted electronically at www.edo.cjis.gov. For additional information, please contact CJIS directly at (304) 625-5590.
- (iv) **The National Name Check Program (NNCP).** The mission of NNCP is to analyze and report information in response to name check requests received from federal agencies, for the purpose of protecting the United States from foreign and domestic threats to national security. Please be advised that this is a service provided to other federal agencies. Private citizens cannot request a name check.

EXPLANATION OF EXEMPTIONS

SUBSECTIONS OF TITLE 5, UNITED STATES CODE, SECTION 552

- (b)(1) (A) specifically authorized under criteria established by an Executive order to be kept secret in the interest of national defense or foreign policy and (B) are in fact properly classified to such Executive order;
- (b)(2) related solely to the internal personnel rules and practices of an agency;
- (b)(3) specifically exempted from disclosure by statute (other than section 552b of this title), provided that such statute (A) requires that the matters be withheld from the public in such a manner as to leave no discretion on issue, or (B) establishes particular criteria for withholding or refers to particular types of matters to be withheld;
- (b)(4) trade secrets and commercial or financial information obtained from a person and privileged or confidential;
- (b)(5) inter-agency or intra-agency memorandums or letters which would not be available by law to a party other than an agency in litigation with the agency;
- (b)(6) personnel and medical files and similar files the disclosure of which would constitute a clearly unwarranted invasion of personal privacy;
- (b)(7) records or information compiled for law enforcement purposes, but only to the extent that the production of such law enforcement records or information (A) could reasonably be expected to interfere with enforcement proceedings, (B) would deprive a person of a right to a fair trial or an impartial adjudication, (C) could reasonably be expected to constitute an unwarranted invasion of personal privacy, (D) could reasonably be expected to disclose the identity of confidential source, including a State, local, or foreign agency or authority or any private institution which furnished information on a confidential basis, and, in the case of record or information compiled by a criminal law enforcement authority in the course of a criminal investigation, or by an agency conducting a lawful national security intelligence investigation, information furnished by a confidential source, (E) would disclose techniques and procedures for law enforcement investigations or prosecutions, or would disclose guidelines for law enforcement investigations or prosecutions if such disclosure could reasonably be expected to risk circumvention of the law, or (F) could reasonably be expected to endanger the life or physical safety of any individual;
- (b)(8) contained in or related to examination, operating, or condition reports prepared by, on behalf of, or for the use of an agency responsible for the regulation or supervision of financial institutions; or
- (b)(9) geological and geophysical information and data, including maps, concerning wells.

SUBSECTIONS OF TITLE 5, UNITED STATES CODE, SECTION 552a

- (d)(5) information compiled in reasonable anticipation of a civil action proceeding;
- (j)(2) material reporting investigative efforts pertaining to the enforcement of criminal law including efforts to prevent, control, or reduce crime or apprehend criminals;
- (k)(1) information which is currently and properly classified pursuant to an Executive order in the interest of the national defense or foreign policy, for example, information involving intelligence sources or methods;
- (k)(2) investigatory material compiled for law enforcement purposes, other than criminal, which did not result in loss of a right, benefit or privilege under Federal programs, or which would identify a source who furnished information pursuant to a promise that his/her identity would be held in confidence;
- (k)(3) material maintained in connection with providing protective services to the President of the United States or any other individual pursuant to the authority of Title 18, United States Code, Section 3056;
- (k)(4) required by statute to be maintained and used solely as statistical records;
- (k)(5) investigatory material compiled solely for the purpose of determining suitability, eligibility, or qualifications for Federal civilian employment or for access to classified information, the disclosure of which would reveal the identity of the person who furnished information pursuant to a promise that his/her identity would be held in confidence;
- (k)(6) testing or examination material used to determine individual qualifications for appointment or promotion in Federal Government service the release of which would compromise the testing or examination process;
- (k)(7) material used to determine potential for promotion in the armed services, the disclosure of which would reveal the identity of the person who furnished the material pursuant to a promise that his/her identity would be held in confidence.

F B I

Date: 7/28/65

Mr. Tolson	_____
Mr. Belmont	_____
Mr. Mohr	_____
Mr. DeLoach	_____
Mr. Casper	_____
Mr. Callahan	_____
Mr. Conrad	_____
Mr. Felt	_____
Mr. Gale	_____
Mr. Rosen	_____
Mr. Sullivan	_____
Mr. Tavel	_____
Mr. Trotter	_____
Tele. Room	_____
Miss Holmes	_____
Miss Gandy	_____

Transmit the following in _____
(Type in plaintext or code)Via AIRTEL _____
(Priority)

TO: DIRECTOR, FBI

FROM: SAC, WFO [] (RUC)

JOHN G. BROADY.

[]

(OO:NY)

Enclosed are nine copies to the Bureau, two to New York and one to Miami for info of a LHM dated and captioned as above.

A copy is being furnished Miami in view of the information concerning BROADY's activities in the Miami area.

WF T-1 is [] WF T-2 is []

For the information of the Bureau and New York, WFO indices disclose the case entitled "JOHN G. BROADY, aka, et al UNAUTHORIZED PUBLICATIONS OR USE OF COMMUNICATIONS" (Bufile 139-149) (NYfile 139-54) disclosing that in 1959 the U. S. Supreme Court had dismissed an appeal by BROADY following his conviction on wire tap charges.

New York is also origin in the case entitled "HORACE WILLIAM SCHMAHL [] in which information was set out concerning BROADY's involvement in the GALINDEZ-MURPHY CASE."

ENCLOSURE

3 - Bureau (Enc 9)

1 - Miami (Info) (Enc 1) (RM)

2 - New York (Enc 2) (RM)

2 - WFO

(1 - [])

MPC:bj
(8)

MOT-8
C. G. WICK

Copy to: [] State/RAO
ONI/OSI/ACSI

by routing slip for info.

Date 8-2-65

AIRTEL

REC-50

Approved: 51 AUG 18 1965
Special Agent in Charge

Sent _____ M Per _____

case re Broady

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b7E

WFO [REDACTED]

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LEADS:

NEW YORK

✓ AT NEW YORK CITY, NEW YORK. 1. Will attempt to identify one [REDACTED]

b3
b6
b7C
b7E

✓ 2. Will review indices concerning BROADY for any information indicating that he is presently active in illegal wire taping.

3. Will attempt to ascertain the extent of his activities for the benefit of the Venezuelan Government.

MIAMI

✓ ✓ AT MIAMI, FLORIDA. Will review indices concerning JOHN G. BROADY.

✓ 2. Will furnish New York its observations regarding [REDACTED]

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✓ ✓ The LHM is ~~classified~~ "Confidential" since [REDACTED] It should be no less than "~~Confidential~~" since the LHM [REDACTED]

b3
b7E



UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

*In Reply, Please Refer to
File No.*

~~CONFIDENTIAL~~
WASHINGTON 25, D. C.

July 28, 1965

JOHN G. BROADY

[REDACTED]

b3
b7E

[REDACTED]

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~~CONFIDENTIAL~~

~~GROUP 1
Excluded from automatic
downgrading and
declassification~~

ENCLOSURE

[REDACTED]

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b7E

~~CONFIDENTIAL~~

JOHN G. BROADY



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b7E

~~CONFIDENTIAL~~

~~CONFIDENTIAL~~

JOHN G. BROADY

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Broady (phonetic) is possibly identical with John G. Broady, who according to "The New York Times" October 13, 1959, was described as a lawyer and private detective in New York City. The newspaper article stated that Broady had been denied a review of his conviction on wire tap charges in New York State Court by the United States Supreme Court. The article stated that Broady had been accused of having operated wire tapping plants in apartments in midtown Manhattan equipped for listening in and recording conversations on business and home telephones.

~~CONFIDENTIAL~~

~~CONFIDENTIAL~~

JOHN G. BROADY

On November 2, 1959, [redacted] Clerk's Office, United States Supreme Court, reported that on June 9, 1959, Broady had filed a jurisdictional statement with the United States Supreme Court and on October 12, 1959, the Court dismissed the appeal by Broady.

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On July 28, 1965, [redacted] Registration Section, Internal Security Division, United States Department of Justice, advised that her records failed to disclose a registration statement for John G. Broady in the active or inactive files.

She could locate no record of an individual with the surname [redacted] as [redacted]

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This document contains neither recommendations nor conclusions of the FBI. It is the property of the FBI and is loaned to your agency; it and its contents are not to be distributed outside your agency.

~~CONFIDENTIAL~~

FEDERAL BUREAU OF INVESTIGATION
FOI/PA
DELETED PAGE INFORMATION SHEET
FOI/PA# 1451834-0

Total Deleted Page(s) = 6
Page 1 ~ Referral/Consult;
Page 2 ~ Referral/Consult;
Page 3 ~ Referral/Consult;
Page 4 ~ Referral/Consult;
Page 5 ~ Referral/Consult;
Page 6 ~ Referral/Consult;

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FEDERAL BUREAU OF INVESTIGATION
FOI/PA
DELETED PAGE INFORMATION SHEET
FOI/PA# 1198916-1

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7-30-, 1965

<input type="checkbox"/>	Name Searching Unit - Room 6527
<input type="checkbox"/>	Service Unit - Room 6524
<input type="checkbox"/>	Forward to File Review
<input type="checkbox"/>	Attention
<input checked="" type="checkbox"/>	Return to <u>Atkinson 62343</u>
	Supervisor Room Ext.

☐ Regular Request (Analytical Search)
☒ All References (Subversive & Nonsubversive)
☐ Subversive References Only
☐ Nonsubversive References Only
☒ Main _____ References Only

☐ Restricted to Locality of _____
☐ Exact Name Only (On the Nôse)
☐ Buildup ☐ Variations

Subject John D. Broady
 Birthdate & Place _____
 Address _____

Localities

R# _____ Date 7-30 Searcher Initials Eamw

Prod. _____

FILE NUMBER	SERIAL
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I ✓ [redacted] b3
E ✓ 139-12 b7E
I ✓ 139-149

John
MI. 46-33534
Approx 150-200 sec

UNITED STATES GOVERNMENT

Memorandum

TO : Director, FBI

DATE: 9/14/65

FROM : SAC, Miami [REDACTED] (RUC)

SUBJECT: JOHN G. BROADY:

[REDACTED]
(OO:NY)

Re WFO airtel and LHM to the Bureau, 7/28/65.

Miami indices fail to reflect an identifiable reference to captioned subject.

Miami indices reflect that [REDACTED]

[REDACTED]

[REDACTED]

- ② - Bureau (RM)
- ② - New York (RM)
- ② - Washington Field (Info) (RM)
- (1 - [REDACTED])

1 - Miami

JRB:GK

(7)

SEP 15 9 53 AM '65



SEP 29 1965

Buy U.S. Savings Bonds Regularly on the Payroll Savings Plan

LATIN-AMERICAN

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b3
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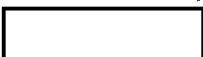
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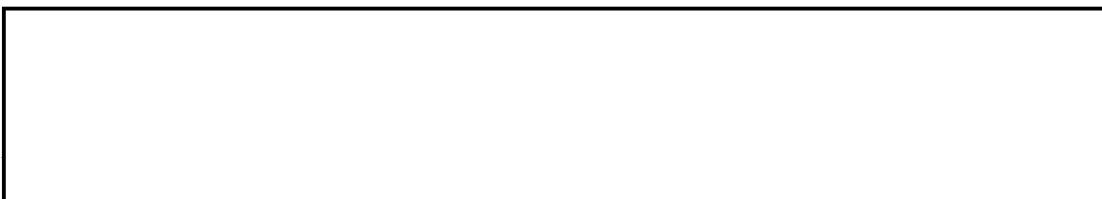
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MM [redacted]

b3
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[redacted]

On September 3, 1965, SA BARRON caused a review of the general index of Chancery cases of the Circuit Court, Dade County, Florida, for the years 1954 through 1964, and could locate no reference to a paternity suit involving [redacted]

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Referenced Washington Field airtel requested that Miami furnish New York its observations regarding

[redacted]

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As a suggested lead, New York should possibly consider ~~having Legat. Paris discreetly and tactfully~~ interview [redacted]

[redacted]

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Miami contemplates no further investigation in this matter unless specifically required by the office of origin.

UNITED STATES GOVERNMENT

Memorandum

TO : DIRECTOR, FBI

DATE: SEP 20 1965

FROM : SAC, NEW YORK [REDACTED] (P)

SUBJECT: JOHN G. BROADY

(OO:NY)

Re Washington Field airtel to Bu, 7/28/65.

A review of NY files indicates BROADY is an internationally known private investigator - lawyer, who was disbarred in 2/56. BROADY was convicted in 12/55, by the State of NY on a wire tapping charge; after a lengthy court battle he surrendered on 1/4/59, to authorities, to start serving a two to four year sentence.

It is further noted BROADY was not known to have any technical background and utilized the services of telephone company employees to install technical equipment. [REDACTED]

Indices of the NYO contain no information concerning BROADY's present employment or activities.

On 8/9/65, GERALD BURKE, Senior Parole Officer, NY State Division of Parole, 11 Gold St., NYC, advised SA VINCENT F. CLANCY, that JOHN BROADY was released from prison in 11/63, by the maximum expiration of his sentence, he was not on parole. BURKE said he had no knowledge concerning the subject's present whereabouts or activities.

2-Bureau (RM)
1-Miami (INFO) (RM)
2-Washington Field
1-New York

REC- 65

(RM)

TJM:pmd
(6)

2 SEP 21 1965

50 OCT 5 1965



5010-108

Buy U.S. Savings Bonds Regularly on the Payroll Savings Plan

LATIN AMERICAN

NY [redacted]

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b7E

On 8/25/65, Lieut. EDWARD STOLL, Central Investigation Bureau, NYCPD, (handles technical matters for the NYCPD), advised SA AUGUST J. MICEK that he has no knowledge of BROADY's present location or activities

[redacted]
STOLL stated that in the event any information came to his attention he would promptly advise this agency.

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A review of NY files reflects that BROADY resided at 110 Riverside Drive in 1959. Current NYC Telephone Directory contains listing for JOHN G. BROADY, 110 Riverside Drive, telephone number EN-2-2215.

Two sources [redacted]

b7D

[redacted] in NYC are being contacted for all available information concerning the subject and the Bureau will be kept advised.

Lead
LEAD:

WASHINGTON

✓ AT WASHINGTON, D.C. Washington is requested to review the records of the US State Department for any information which would indicate that BROADY travelled out of the US in 1958 or 1/59.

UNITED STATES GOVERNMENT

Memorandum

TO: *JDP*
sec DIRECTOR, FBI

DATE: 10/18/65

FROM: SAC, WFO [REDACTED] (P)

SUBJECT: *W*
ST JOHN G. BROADY

(OO:NEW YORK)

ReNew York letter to Director September 20, 1965.

Enclosed for New York Office are 15 pages which comprise the pertinent portions of ONI file obtained by IC JOHN B. ARMSTRONG at WFO.

The following information was obtained from subject's passport records which have been reviewed by IC KENNETH F. POTTER, WFO at Passport Office, USDS in Washington, D.C.

Rt. # 2 Box 395A Houston, Texas

12 The subject is currently in possession of United States passport number D 792 644, issued at New York, on 12/19/63, containing restrictions for travel in Albania, Cuba and those portions of China, Korea, and Viet-Nam under communist control. Application for this passport was made at New York, on 12/13/63. This application lists subject's date of birth as 9/1/03, at Adams County, Iowa. Subject's permanent address is listed as 110 Riverside Drive, New York, New York. Purpose for obtaining instant passport was 30 days' travel throughout England, France, Italy and Germany, for business reasons. Approximate departure date is listed as 1/15/64, port of departure, New York. Subject's parents listed as: father: GEORGE BROADY, born Mohawk, New York, *Broady* in about 1863, mother: MARY BROWN, born Indianapolis, Indiana, about 1873. Subject's date of marriage listed as 1935 (12/31/35), to JANET HILTON, who was born about 1903, at Newark, New Jersey. Subject's description given as:

- Mrs. John G. Broady* *Broady* *110 Riverside Dr. New York, NY*
- 2 - Bureau
 - 2 - New York (Enc. 1) (RM) *REC-13*
 - 1 - Miami (Info) (RM)
 - 2 - WFO

JSL:nlp
(7)

12 OCT 19 1965



NOV 9 1965

Buy U.S. Savings Bonds Regularly on the Payroll Savings Plan

LATIN-AMERICAN

WFO [redacted]

b3
b7E

Height: 6' 1 3/4"
Hair: Gray - brown
Eyes: Gray
Scars and marks: Scar on inside of right thumb
Occupation: Consultant
110 Riverside Dr. New York, N.Y.
Subject listed [redacted]

b6
b7C

[redacted] as the person to be notified in the event of death or accident.

On 5/18/34, subject was issued passport number 103100 at Washington, D.C., to depart from New York, via ship on 5/34, for Czechoslovakia, Romania, Germany, England, France, Austria and Hungary on business. At that time, subject indicated his permanent residence address as 10 Sheridan Square, New York, New York. Identifying witness -

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On 8/14/36, subject renewed passport indicating departure from New York, during 8/36. No reason for travel for the countries to be visited indicated. At that time, subject listed residence as 242 East 19th Street, New York, New York.

On 11/27/46, subject was issued passport number 158119 at Washington, D.C., to depart from Miami, on 12/15/46, via air to Honduras, El Salvador, Guatemala, Costa Rica, Panama, and Nicaragua. The duration of this trip was stated to be three months for business of a mining nature. Subject indicated his parents were residing at Route #2, Box 395A, Houston, Texas. Subject's place of birth was listed as Nevinville, Adams County, Iowa.

On 9/18/50, subject again renewed his passport to depart from New York "within a week", for a one-month business trip via air to Chile and Honduras.

On 9/14/51, subject was issued passport number 507595, at Washington, D.C., to depart from New York City on 9/30/51, for a 30-day "professional business" trip via air to England, France, and Italy. Subject listed his occupation as "attorney".

WFO

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Subject renewed this passport on 3/31/54, to depart from New York City on 5/1/54, for a 30-day business trip via air to England, France, Switzerland, and Italy. Mailing address was listed as R-2805, 19 Rector Street, New York City.

On 7/7/55, subject was issued passport number 727831 at Washington, D.C., to depart from New York City on 7/26/55, for a business trip lasting from two weeks to two months, via air to Belgium.

On 6/21/57, subject renewed this passport to depart from New York City on 7/5/57, for a 30-day business trip to England and France, via air.

Records of the United States Department of State, Passport Office, contained no further references to subject.

26 ✓ | This matter is being held in a pending status, awaiting possible pertinent information which might be developed from the United States Department of State, Security Office.

Photograph obtained will be furnished to New York Office upon completion of processing.

UNITED STATES GOVERNMENT

Memorandum

TO : DIRECTOR, FBI

DATE: NOV 30 1965

FROM : SAC, NEW YORK [REDACTED] (P)

SUBJECT: JOHN G. BROADY
[REDACTED]
(OO:NY)

b3
b7E

2

mm

Re Miami letter to Director dated 9/14/65, NY letter to Director dated 9/20/65, WFO letter to Director 10/18/65.

As the Bureau is aware, the NYO by letter dated 10/18/65, reported background information concerning the subject in the case captioned "JOHN G. BROADY, aka, FPC", Bufile 163-12533, NY file 163-1478.

b7D

Referenced WFO letter set forth the results of a review of the passport records at the United States Department of State, Washington, D.C. and of ONI records, Washington, D.C. This material contained no information indicating that [REDACTED]

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Records of the Credit Bureau of Greater New York contain extensive information concerning the subject, however, they contain no information pertinent to this investigation.

- 2- Bureau (RM)
1- Washington Field [REDACTED] (Info) (RM)
1- New York

REC 30

TJM:ers
(4)

DEC 1 1965

EX-107

DEC 8 1965

LATIN AMERICAN

7 DEC 14 1965

Buy U.S. Savings Bonds Regularly on the Payroll Savings Plan



NY [REDACTED]

b3
b7E

To date there is no information available which would be of assistance in identifying one [REDACTED] who was alleged to have furnished information concerning BROADY.

b6
b7C

LEAD

NEW YORK

AT NEW YORK, NEW YORK. Will await results of WFO review of records of the USDS Security Office.

UNITED STATES GOVERNMENT

Memorandum

TO : DIRECTOR, FBI

FROM : SAC, WFO [REDACTED] (RUC)

SUBJECT: JOHN G. BROADY
[REDACTED]
(OO:NY)

DATE: 12/22/65

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b7E

ReWFOlet to Director dated 10/18/65.

Enclosed for the New York Office are five photographs of JOHN GEORGE BROADY taken 12/13/63 and obtained from BROADY's passport file on 10/22/65.

On 10/19/65, SA MAURICE F. DONEGAN, JR., WFO, caused a search to be made of the records of the Office of Security and Visa Office, U. S. Department of State, however, no information, not already in possession of the Bureau, was obtained.

2 - Bureau
2 - New York [REDACTED] (Enc.5) (RM)
1 - Washington Field

JSL:nlm
(5)

REC-50

MCT-22

16 DEC 23 1965



JAN 4 1966

Buy U.S. Savings Bonds Regularly on the Payroll Savings Plan

LATIN-AMERICAN

UNITED STATES GOVERNMENT

Memorandum

TO : DIRECTOR, FBI

DATE: JAN 20 1966

FROM : SAC, NEW YORK [REDACTED] (C)

b3
b7E

SUBJECT: JOHN G. BROADY
[REDACTED]
(OO:NY)

ReNYlet to Director dated 11/30/65, Washington
Field letter to Director dated 12/22/65.

This investigation was instituted by Washington
Field airtel to Director dated 7/28/65, which set forth
information that [REDACTED]

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b7C

It is noted that JOHN G. BROADY, a disbarred
attorney, was convicted by the state of NY on a wire
tapping charge and served a prison sentence from 1/4/59,
to 11/63.

[REDACTED]

b3
b7D
b7E

This investigation has not disclosed any
information indicating that BROADY personally traveled to

2-Bureau (RM)
1-Washington Field [REDACTED] (Info) (RM)
1-New York

b3
b7E

TJM:kmm
(4)

REC-70

EX-101

1 JAN 21 1966

FEB 3 1966



5010-108

Buy U.S. Savings Bonds Regularly on the Payroll Savings Plan

NY [REDACTED]

b3
b7E

[REDACTED]
[REDACTED] In view of BROADY's known animosity towards the Bureau and the fact he is reported to be a "liar", it is not being recommended that BROADY be interviewed in this matter. Inasmuch as all logical leads have been covered, this case is being placed in a closed status.

FEDERAL BUREAU OF INVESTIGATION
FOI/PA
DELETED PAGE INFORMATION SHEET
FOI/PA# 1451834-0

Total Deleted Page(s) = 19

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Page 130 ~ b7D;
Page 153 ~ b7D;
Page 155 ~ b3; b6; b7C; b7E;
Page 156 ~ b6; b7C;
Page 171 ~ Duplicate;
Page 179 ~ b7D;
Page 180 ~ b7D;
Page 181 ~ b7D;
Page 183 ~ b3; b6; b7C; b7D;
Page 184 ~ b7D;
Page 185 ~ b7D;
Page 186 ~ b7D;
Page 187 ~ b7D;
Page 188 ~ b7D;
Page 189 ~ b7D;
Page 190 ~ b7D;
Page 191 ~ b7D;
Page 192 ~ b7D;

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FEDERAL BUREAU OF INVESTIGATION
FOI/PA
DELETED PAGE INFORMATION SHEET
FOI/PA# 1198916-1

Total Deleted Page(s) = 19

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FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE MAY 15 1969	INVESTIGATIVE PERIOD 3/4-5/9/69
TITLE OF CASE ET AL		REPORT MADE BY O. EUGENE SMITH	TYPED BY jtc b6
		CHARACTER OF CASE FAG; MISCELLANEOUS-CIVIL SUIT; FEDERAL LENDING AND INSURANCE AGENCIES-SMALL BUSINESS INVESTMENT COMPANIES	b7C

REFERENCES:

Report of SA O. EUGENE SMITH dated 3/3/69⁴⁸, at New York.

New York airtel dated 3/13/69.⁴⁹

New York airtel dated 4/18/69.⁵¹

-P-

LEADS:NEW YORK

AT NEW YORK, NEW YORK. 1. Will follow and report criminal prosecution re this matter.

2. Will follow and report civil action re this matter.

ACCOMPLISHMENTS CLAIMED						<input checked="" type="checkbox"/> NONE	ACQUIT-TALS	CASE HAS BEEN: PENDING OVER ONE YEAR <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO PENDING PROSECUTION OVER SIX MONTHS <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
CONVIC.	AUTO.	FUG.	FINES	SAVINGS	RECOVERIES			
APPROVED						SPECIAL AGENT IN CHARGE		
COPIES MADE:						DO NOT WRITE IN SPACES BELOW		
1-Bureau (46-51211)						46-51211-52		
1-USA, SDNY (ATT:AUSA SULLIVAN)						REC 17		
1-USA, SDNY (ATT:AUSA GALLAGHER)						17 MAY 20 1969		
2-New York (46-6700)								
Dissemination Record of Attached Report						Notations		
Agency	100	SBA	200	RAO	SIX			
Request Recd.					STAT. SECT.			
Date Fwd.					J.S. 6/2/69			
How Fwd.	1	JUN 4 - 1969						
By								

-A*-

COVER PAGE

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to: 1-USA, SDNY (ATT:AUSA DANIEL SULLIVAN)
1-USA, SDNY (ATT:AUSA BRIAN GALLAGHER)

Report of: O. EUGENE SMITH Office: New York, New York
Date: MAY 15 1969

Field Office File #: 46-6700 Bureau File #: 46-51211

Title:
ET AL

b6
b7c

Character: FRAUD AGAINST THE GOVERNMENT;
MISCELLANEOUS-CIVIL SUIT;
FEDERAL LENDING AND INSURANCE AGENCIES-SMALL BUSINESS
INVESTMENT COMPANIES

Synopsis: On 5/9/69, indictment returned by Federal Grand
Jury (FGJ), SDNY, charging FRANCIS PETER CROSBY,
RAYMOND PIERSON and VINCENT JOSEPH CALISE with
violation of Title 18, USC, Section 657; defendants to
appear in US District Court., SDNY, on 5/16/69,
for pleading. Investigation pertaining to Alho
Corporation, Sorbel Company and National Automation
Corporation set forth.

-P-

DETAILS:

On May 9, 1969, Assistant United States Attorney (AUSA) DANIEL SULLIVAN, Southern District of New York (SDNY) advised SA O. EUGENE SMITH that on this date a Federal Grand Jury in the SDNY returned an indictment charging FRANCIS PETER CROSBY, RAYMOND PIERSON and VINCENT JOSEPH CALISE with violation of Title 18, United States Code (USC), Section 657.

The indictment charges in part that said defendants, being officers, agents and employees of, and connected with, a small business investment company within the meaning of the Small Business Investment Act of 1958, as amended to wit, Roosevelt Capital Corporation, unlawfully, wilfully and

NY 46-6700

knowingly, and with intent to injure and defraud said small business investment company, would embezzle, abstract, purloin and wilfully misapply moneys, funds, credits, securities, and other things of value belonging to Roosevelt and intrusted to its care, of a value in excess of \$100.00.

The defendants are due to appear in United States District Court, SDNY, on May 16, 1969, for pleading.

FEDERAL BUREAU OF INVESTIGATION

March 18, 1969

Date

[redacted]
[redacted]

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Around 1961, he and [redacted] formed the Alho Corporation to do trucking and hauling work for a bakery known as Wilson-Jacoby, in Syossett, Long Island, New York. He stated, however, that shortly after forming Alho Corporation, the employees of Wilson-Jacoby went on strike, and he and [redacted] decided to sell the Alho Corporation, inasmuch as they did not desire to arrange to buy a large number of special truck equipment for hauling bakery items in view of the status of Wilson-Jacoby. He stated that Wilson-Jacoby subsequently had financial problems and went into Chapter 11.

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b7C

[redacted] stated that he and [redacted] sold Alho Corporation around 1962. He stated that Mr. DICK BUELL, attorney, of the law firm of Duell, Clifton and Turner, 80 Pine Street, New York City, handled the legal work in connection with the formation, as well as the selling, of the Alho Corporation. He stated that DICK BUELL died about two years ago, but the law firm of Duell, Clifton and Turner should still have their files in connection with the selling of the Alho Corporation.

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[redacted] stated that he could not recall to whom he and [redacted] sold the Alho Corporation around 1962. He likewise stated that he could not recall any transactions or dealings with the Roosevelt Capital Corporation, 600 Old Country Road, Garden City, New York. He stated that it is possible that the new owners of Alho Corporation have business transactions with the Roosevelt Capital Corporation after he and [redacted] sold Alho.

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[redacted] stated that it was his recollection that the Federal Bureau of Investigation had previously conducted

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On 3/18/69 at East Rutherford, N.J. File # Newark: 40-6654
by SAA [redacted] bak -3- 3/18/69
Date dictated

b6
b7C

NI 4G-6654

some investigation, and contacted him in connection with the Alho Corporation to determine whether or not he and [redacted] had been forced to sell their interest in the Alho Corporation. He stated, however, that the only reason that they sold Alho Corporation was because they felt the firm of Wilson-Jacoby was in poor financial condition, and they did not wish to get stuck with a lot of specially equipped vehicles and possibly suffer a loss in the event Wilson-Jacoby went out of business.

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FEDERAL BUREAU OF INVESTIGATION

Date 4/1/69

[redacted] Revenue Systems Incorporated, 46 Werman Court, Plainview, New York, advised on March 17, 1969, that he [redacted] National Automation, which was formerly located at 110 Denton Avenue, Garden City Park, New York.

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This company operated under Chapter IX of National Bankruptcy Act in 1965, and subsequently went in final bankruptcy in about 1966, because of financial problems.

[redacted] stated the Trustee in Bankruptcy was [redacted] an attorney located on Fifth Avenue, New York City. The attorneys for the Trustee were OTTERBOURGH, STEINDLER, HOUSTON and ROSEN also located on Fifth Avenue, New York City, the attorney in this firm who handled the case was [redacted]. The books and records of National Automation are in storage of the Auctioneer who sold the assets of National Automation. [redacted] will probably know the name of the Auctioneer and where records are located.

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b7C

[redacted] an attorney in the law firm of BROWN, WOOD, FULLER CALDWELL and IVY, located on Wall Street, New York City has a complete file on concerning financial background of National Automation inasmuch as the above law firm represented Schweikert and Company, a brokerage investment house which had an investment in National Automation as the company intended to go Public in 1962, but the Stock Market turned sour about this time and Schweikert lost their investment.

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In regards to the \$30,000 loan by Roosevelt Capital Corporation, [redacted] is not sure of the exact amount. In any event only some interest payment were made on the loan and the loan was never paid off.

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In regards to the \$30,000 investment, [redacted] could only recall it was a stock investment by Roosevelt Capital Corporation, however, [redacted] will probably have the details.

On 3/17/69 at Plainview, New York File# 46-6700

by SAA [redacted] / pc -5- Date dictated 3/24/69

b6
b7C

NY 46-6700

[redacted] added that in his opinion CHARLES SHAPIRO of Roosevelt Capital Corporation, was the cause of some of the financial problems suffered by his former company in that SHAPIRO blocked a proposed merger by his company with a company in Florida who was going to take over National Automation in 1962, probably take care of their financial problems.

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NY 46-6/00

The following investigation was conducted by
SA [redacted] at Miami, Florida.

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NY 46-6700

On April 4, 1969, SA [redacted] (A) went to the area at which 1151 N.W. 72nd Street, Miami, Florida, should be located and this was found to be a vacant lot.

b6
b7C

[redacted] Geiger Distributors, Inc., 1139 N.W. 72nd Street, Miami, Florida, advised she recalls some years ago that Sorbel Company was located at 1151 N.W. 72nd Street and the concern had some kind of trouble which had resulted in the building having been locked by the Sheriff of Dade County and shortly thereafter, the building had burned.

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b7C

The 1969 Southern Bell Telephone and Telegraph Company telephone book does not show a Sorbel Company,

The 1963 Polk Miami Directory shows a Sorbel Company, Inc., was located at 1151 N.W. 72nd Street, Miami, Florida. No listing in 1969 directory.

A review of the records of bankruptcy court reflects Sorbel Company has been adjudicated bankrupt number 64-33 and the file should be in the office of the Clerk, United States District Court, Southern District of Florida.

On April 10, 1969, it was determined the bankruptcy file for Sorbel Company has been sent to the Federal Records Center, 1557 St. Joseph Avenue, East Point, Georgia, 30044.

The docket sheet in the office of the Clerk of the Court does not show a claim was allowed or claimed by the Roosevelt Capital Corporation.

NY 46-6700

In the event it is necessary to review the
bankruptcy file, it can be located through the following:

Accession Number 69A 1242,
Federal Record Number 584182R,
Agency Box Number 263,
File Number 64-33.

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE 6/27/69	INVESTIGATIVE PERIOD 5/26-6/23/69
TITLE OF CASE ET AL		REPORT MADE BY O. EUGENE SMITH	TYPED BY kpo
		CHARACTER OF CASE FAG; MISCELLANEOUS - CIVIL SUIT; FEDERAL LENDING AND INSURANCE AGENCIES - SMALL BUSINESS INVESTMENT COMPANIES	

REFERENCENYrep of SA O. EUGENE SMITH, 5/15/69⁵²

- P -

LEADSNEW YORKAT NEW YORK, NEW YORK.

1. Will follow and report criminal prosecution.
2. Will follow and report civil action.

ACCOMPLISHMENTS CLAIMED						<input checked="" type="checkbox"/> NONE	ACQUIT- TALS	CASE HAS BEEN:	
CONVIC.	AUTO.	FUG.	FINES	SAVINGS	RECOVERIES			PENDING OVER ONE YEAR	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
								PENDING PROSECUTION OVER SIX MONTHS	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
APPROVED						SPECIAL AGENT IN CHARGE		DO NOT WRITE IN SPACES BELOW	
COPIES MADE:								46-51211-53 REC-69	
4 - Bureau (46-51211)									
1 - USA, SDNY (Att: AUSA SULLIVAN)									
1 - USA, SDNY (Att: AUSA GALLAGHER)									
2 - New York (46-6700)								25 JUL 1 1969 EX-116	
Dissemination Record of Attached Report						Notations			
Agency	1cc	3 BA	2cc	RNO	STAT. SECT.				
Request Recd.									
Date Fwd.									
How Fwd.									
By	53 JUL 14 1969								

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to: 1 - USA, SDNY (Att: AUSA SULLIVAN)
1 - USA, SDNY (Att: AUSA GALLAGHER)

Report of: O. EUGENE SMITH
Date: 6/27/69

Office: New York, New York

Field Office File #: 46-6700

Bureau File #: 46-51211

Title:

ET AL

b6
b7C

Character: FRAUD AGAINST THE GOVERNMENT; MISCELLANEOUS -
CIVIL SUIT; FEDERAL LENDING AND INSURANCE
AGENCIES - SMALL BUSINESS INVESTMENT COMPANIES

Synopsis:

FRANCIS PETER CROSBY, RAYMOND PIERSON and VINCENT JOSEPH CALISE entered pleas of not guilty in USDC, SDNY, to indictment returned against them on 5/9/69. CROSBY and PIERSON released on \$25,000 bond. CALISE released on own recognizance. No trial date set.

- P -

DETAILS

On June 23, 1969, Assistant United States Attorney (AUSA) DANIEL SULLIVAN, Southern District of New York (SDNY), advised SA O. EUGENE SMITH as follows:

NY 46-6700

FRANCIS PETER CROSBY, RAYMOND PIERSON and VINCENT JOSEPH CALISE appeared in United States District Court, SDNY, at which time they entered pleas of not guilty to an indictment returned against them on May 9, 1969. FRANCIS PETER CROSBY and RAYMOND PIERSON were released on \$25,000 bond. VINCENT JOSEPH CALISE was released on his own recognizance. No trial date has been set in this matter.

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to: 1 - USA, SDNY (ATT: AUSA DANIEL SULLIVAN)
1- USA, SDNY (ATT: AUSA BRIAN GALLAGHER)

Report of: O. EUGENE SMITH Office: NEW YORK, NEW YORK
Date: 8/28/69

Field Office File #: 46-6700 Bureau File #: 46-51211

Title:
ET AL

Character: FRAUD AGAINST THE GOVERNMENT; - MISCELLANEOUS -
CIVIL SUIT; FEDERAL LENDING AND INSURANCE
AGENCIES - SMALL BUSINESS INVESTMENT COMPANIES

Synopsis: No trial date set in this matter.

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- P -

DETAILS:

On August 27, 1969 Assistant United States Attorney DANIEL SULLIVAN, Southern District of New York, advised SA O. EUGENE SMITH that motions made by defendants are currently pending before United States District Judge COOPER, Southern District of New York, and that no trial date has been set in this matter.

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE 8/28/69	INVESTIGATIVE PERIOD 7/25 to 8/27/69
TITLE OF CASE ET AL		REPORT MADE BY O. EUGENE SMITH	TYPED BY oeb6 b7C
		CHARACTER OF CASE FAG; MISCELLANEOUS - CIVIL SUIT; FEDERAL LENDING AND INSURANCE AGENCIES - SMALL BUSINESS INVESTMENT COMPANIES	

REFERENCE NY report of O. EUGENE SMITH dated 6/27/69⁵

- P -

LEADSNEW YORKAT NEW YORK, NEW YORK

1. Will follow criminal prosecution with AUSA DANIEL SULLIVAN, SDNY.
2. Will follow civil action with AUSA BRIAN GALLAGHER, SDNY.

ACCOMPLISHMENTS CLAIMED						<input checked="" type="checkbox"/> NONE	ACQUIT- TALS	CASE HAS BEEN:
CONVIC.	AUTO.	FUG.	FINES	SAVINGS	RECOVERIES			
								PENDING OVER ONE YEAR <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO PENDING PROSECUTION OVER SIX MONTHS <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO

APPROVED <i>J. E. [Signature]</i>	SPECIAL AGENT IN CHARGE	DO NOT WRITE IN SPACES BELOW	
COPIES MADE: 4 - Bureau (46-51211) 1 - USA, SDNY (ATT: AUSA SULLIVAN) 1 - USA, SDNY (ATT: AUSA GALLAGHER) 2 - New York (46-6700)		46-51211-54 3 SEP 2 1969 REC 55 EX-105	

Dissemination Record of Attached Report				Notations
Agency	Request Recd.	Date Fwd.	How Fwd.	
1cc SBA				STAT SECT. 9-12-69
2cc RAO				
By				

58 SEP 15 1969

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE 11/5/69	INVESTIGATIVE PERIOD 9/25 - 10/21/69
TITLE OF CASE <div style="border: 1px solid black; height: 20px; width: 150px; margin: 5px 0;"></div> ET AL		REPORT MADE BY O. EUGENE SMITH	TYPED BY oes
		CHARACTER OF CASE FAG; MISCELLANEOUS - CIVIL SUIT; FEDERAL LENDING AND INSURANCE AGENCIES - SMALL BUSINESS INVESTMENT COMPANIES	

REFERENCE: NY report of SA O. EUGENE SMITH dated 8/28/68 at NY.

- P -

LEADS

NEW YORK

AT NEW YORK, NEW YORK

1. Will follow criminal prosecution with AUSA DANIEL SULLIVAN, SDNY.
2. Will follow civil action with AUSA BRIAN GALLAGHER, SDNY.

ACCOMPLISHMENTS CLAIMED						<input checked="" type="checkbox"/> NONE	ACQUIT- TALS	CASE HAS BEEN:	
CONVIC.	AUTO.	FUG.	FINES	SAVINGS	RECOVERIES	PENDING OVER ONE YEAR		<input checked="" type="checkbox"/> YES	<input type="checkbox"/> NO
								PENDING PROSECUTION OVER SIX MONTHS	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO

APPROVED <div style="text-align: center; margin-top: 20px;"><i>[Signature]</i></div> SPECIAL AGENT IN CHARGE	DO NOT WRITE IN SPACES BELOW <div style="font-size: 2em; font-family: cursive; margin-top: 10px;">46-51211-55</div> <div style="text-align: right; margin-top: 10px;">REC- 81</div> <div style="text-align: center; margin-top: 10px;">17 NOV 10 1969</div> <div style="text-align: right; margin-top: 10px;">ST-105</div>
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Dissemination Record of Attached Report				Notations <div style="font-size: 1.5em; font-weight: bold;">STAS. SECT.</div>
Agency	1- SBA			
Request Recd.	2- RAO			
Date Fwd.				
How Fwd.				
By JS 11/26/69				

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to: 1 - USA, SDNY (ATT AUSA DANIEL SULLIVAN)
1 - USA, SDNY (ATT AUSA BRIAN GALLAGHER)

Report of: O. EUGENE SMITH Office: NEW YORK, NEW YORK
Date: 11/5/69

Field Office File #: 46-6700 Bureau File #: 46-51211

Title:
ET AL

Character: FRAUD AGAINST THE GOVERNMENT; MISCELLANEOUS -
CIVIL SUIT; FEDERAL LENDING AND INSURANCE
AGENCIES - SMALL BUSINESS INVESTMENT COMPANIES

Synopsis: No trial date set.

b6
b7C

- P -

DETAILS:

On October 21, 1969 Assistant United States Attorney (AUSA) DANIEL SULLIVAN, Southern District of New York (SDNY) advised SA O. EUGENE SMITH that this matter is on the trial calendar but that no trial date has been set.

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE 1/14/70	INVESTIGATIVE PERIOD 12/2/69 - 1/12/70
TITLE OF CASE <div style="border: 1px solid black; height: 20px; width: 150px; margin: 5px 0;"></div> ET AL		REPORT MADE BY O. EUGENE SMITH	TYPED BY OES b6
		CHARACTER OF CASE FAG; MISCELLANEOUS - CIVIL SUIT; FEDERAL LENDING AND INSURANCE AGENCIES - SMALL BUSINESS INVESTMENT COMPANIES	

REFERENCE: Report of SA O. EUGENE SMITH dated 11/5/69 at NY.

- P -

0-1-111-1-16-170
apt. sub. - 1.14.70

LEADS

NEW YORK

AT NEW YORK, NEW YORK

1. Will follow criminal prosecution with
AUSA DANIEL SULLIVAN, SDNY.
2. WILL FOLLOW civil action with AUSA
BRIAN GALLAGHER, SDNY.

ACCOMPLISHMENTS CLAIMED						<input type="checkbox"/> NONE	ACQUIT- TALS	CASE HAS BEEN:	
CONVIC.	AUTO.	FUG.	FINES	SAVINGS	RECOVERIES			PENDING OVER ONE YEAR	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
								PENDING PROSECUTION OVER SIX MONTHS	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
APPROVED <i>JFM</i>						SPECIAL AGENT IN CHARGE		DO NOT WRITE IN SPACES BELOW	
COPIES MADE: ① - BUREAU (46-51211) 1 - USA, SDNY (ATT: AUSA SULLIVAN) 1 - USA, SDNY (ATT: AUSA GALLAGHER) 2 - NEW YORK (46-6700)						<div style="display: flex; justify-content: space-around; font-size: 2em;"> 46- 56 </div>		REC 85 EX-117	
						9 JAN 19 1970			
Dissemination Record of Attached Report						Notations			
Agency	1-SBA					SEX STAT. SECT.			
Request Recd.	2-RAD								
Date Fwd.									
How Fwd.	61								
By	59 JAN 30 1970 <i>JS</i>								

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to: 1 - USA, SDNY (ATT: AUSA DANIEL SULLIVAN)
1 - USA, SDNY (ATT: AUSA BRIAN GALLAGHER)

Report of: O. EUGENE SMITH Office: NEW YORK, NEW YORK
Date: 1/14/70

Field Office File #: 46-6700 Bureau File #: 46-51211

Title:
ET AL

Character: FRAUD AGAINST THE GOVERNMENT; MISCELLANEOUS -
CIVIL SUIT; FEDERAL LENDING AND INSURANCE
AGENCIES - SMALL BUSINESS INVESTMENT COMPANIES

Synopsis: No trial date set.

b6
b7C

- P -

DETAILS:

On January 12, 1970 Assistant United States Attorney (AUSA) DANIEL SULLIVAN, Southern District of New York (SDNY) advised SA O. EUGENE SMITH that this matter is on the trial calendar but that no trial date has been set.

SAC, New York (46-6700)

2-13-70

Director, FBI (46-51211) - 57

1 - Mr. Shanley

[REDACTED]
ET AL.
FAG; FLIA-SBIC
MISCELLANEOUS - CIVIL SUIT
OO: NEW YORK

b6
b7C

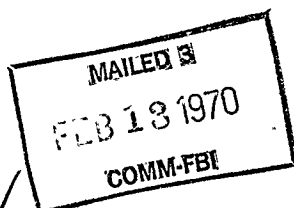
Re New York airtel to the Bureau dated 2-6-70^{at}.

New York advise the pertinency of determining
current information regarding Richard O. R. Seagraves and
[REDACTED] in this matter.

b6
b7C

JFS:dmv
(4)

Tolson _____
DeLoach _____
Walters _____
Mohr _____
Bishop _____
Casper _____
Callahan _____
Conrad _____
Felt _____
Gale _____
Rosen _____
Sullivan _____
Tavel _____
Soyars _____
Tele. Room _____
Holmes _____
Gandy _____



MAIL ROOM ☐ TELETYPE UNIT ☐

F B I

Date: 2/6/70

Transmit the following in _____
(Type in plaintext or code)Via AIRTEL _____
(Priority)

TO: DIRECTOR, FBI (46-51211)
FROM: SAC, NEW YORK (46-6700)
SUBJECT: [REDACTED]
FRANCIS PETER CROSBY;
ET AL
FAG
(OO:NEW YORK)

b6
b7C

On 2/6/70, AUSA DANIEL SULLIVAN, SDNY, advised that an individual by the name of RICHARD O. R. SEAGRAVES committed suicide in Houston, Texas, approximately one month ago. He advised that [REDACTED] associated with Challenge Film, Incorporated, had an address of [REDACTED]

b6
b7C

Mr. SULLIVAN advised that, in connection with this case, he desired to obtain the circumstances surrounding the suicide of SEAGRAVES and that an attempt be made to ascertain the current address of [REDACTED]

LEADS:HOUSTON

AT HOUSTON, TEXAS. Will, through the Police Department and/or Newspaper Morgue, attempt to obtain circumstances surrounding the suicide of RICHARD O. R. SEAGRAVES.

- ② - Bureau
2 - Houston
2 - Los Angeles (46-9011)
1 - New York

OES:ptf
(8)

2-13-70
EX-117
REC-62
46-51211-57

FEB 16 1970

Approved: _____
Special Agent in Charge

Sent _____ M Per _____

NY 46-6700

LOS ANGELES

AT LOS ANGELES, CALIFORNIA. Will attempt to
obtain current address for [redacted] by contact at
[redacted]

b6
b7c

UNITED STATES GOVERNMENT

Memorandum

TO : DIRECTOR, FBI (46-51211)

DATE: 3/16/70

FROM: SAC, NEW YORK (46-6700)

SUBJECT: [REDACTED]

ET AL
FAG; FLIA-SBIC
MISCELLANEOUS - CIVIL SUIT
OO: NY

b6
b7C

Re: Bureau letter to New York dated 2/13/70⁵¹

AUSA DANIEL SULLIVAN, SDNY, requested information concerning the death of RICHARD O.R. SEAGRAVES as he was an associate of FRANCIS PETER CROSBY and AUSA wanted to know if there were any connection between the suicide of SEAGRAVES and his association with CROSBY.

AUSA DANIEL SULLIVAN requested the current address of [REDACTED] as he was an associate of CROSBY and he may want to call [REDACTED] as a witness in the event that CROSBY goes to trial in this matter.

b6
b7C

EX-110

REC-58

46-51211-58

(2) - Bureau
(1) - New York
(3)
OES:oes

MAR 18 1970

SEX

293
60 MAR 24 1970



FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE MAR 30 1970	INVESTIGATIVE PERIOD 2/6/70 - 3/10/70
TITLE OF CASE [REDACTED] ET AL		REPORT MADE BY O. EUGENE SMITH	TYPED BY mav b6 b7C
		CHARACTER OF CASE FAG; MISCELLANEOUS - CIVIL SUIT; FEDERAL LENDING AND INSURANCE AGENCIES - SMALL BUSINESS INVESTMENT COMPANIES	

REFERENCES

Report of SA O. EUGENE SMITH, dated 1/14/70⁵⁴,
at New York.

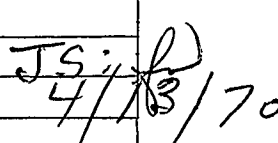
- P -

LEADS

NEW YORK

AT NEW YORK, NEW YORK. 1. Will follow criminal
prosecution with AUSA DANIEL SULLIVAN, SDNY.

2. Will follow civil action with AUSA BRIAN
GALLAGHER, SDNY.

ACCOMPLISHMENTS CLAIMED						<input checked="" type="checkbox"/> NONE	ACQUIT- TALS	CASE HAS BEEN: PENDING OVER ONE YEAR <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO PENDING PROSECUTION OVER SIX MONTHS <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
CONVIC.	AUTO.	FUG.	FINES	SAVINGS	RECOVERIES			
APPROVED						SPECIAL AGENT IN CHARGE	DO NOT WRITE IN SPACES BELOW	
COPIES MADE:							46-51211-59	REC-72
4 - Bureau (46-51211)								
1 - USA, SDNY (ATT: AUSA SULLIVAN)								
1 - USA, SDNY (ATT: AUSA GALLAGHER)								
2 - New York (46-6700)								
Dissemination Record of Attached Report						Notations		
Agency	1-SBA							
Request Recd.	2-RAO							
Date Fwd.								
How Fwd.								
By	53 APR 14 1970							

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to: 1 - USA, SDNY (ATT: AUSA DANIEL SULLIVAN)
1 - USA, SDNY (ATT: AUSA BRIAN GALLAGHER)

Report of: O. EUGENE SMITH Office: New York, New York
Date: MAR 30 1970

Field Office File #: 46-6700 Bureau File #: 46-51211

Title:
ET AL

Character: FRAUD AGAINST THE GOVERNMENT; MISCELLANEOUS -
CIVIL SUIT; FEDERAL LENDING AND INSURANCE
AGENCIES - SMALL BUSINESS INVESTMENT COMPANIES

Synopsis: No trial date set.

b6
b7c

- P -

DETAILS

Contact was maintained with Assistant United States Attorney (AUSA) DANIEL SULLIVAN, Southern District of New York (SDNY), in connection with this matter during the period February 6 to March 10, 1970. On March 10, 1970, AUSA SULLIVAN advised that this matter has been assigned to the trial calendar of the United States District Judge HAROLD R. TYLER, SDNY. He advised that a trial date has not been set in this matter.

- 1* -

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE 5/25/70	INVESTIGATIVE PERIOD 4/28-5/20/70
TITLE OF CASE ET AL		REPORT MADE BY O. EUGENE SMITH	TYPED BY bip
		CHARACTER OF CASE FAG; MISCELLANEOUS - CIVIL SUIT; FEDERAL LENDING AND INSURANCE AGENCIES - SMALL BUSINESS INVESTMENT COMPANIES	b6 b7C

REFERENCE:Report of SA O. EUGENE SMITH, dated 3/20/70⁹ at New York.

-P-

LEADS:NEW YORK

AT NEW YORK, NEW YORK. 1. Will follow criminal prosecution with AUSA DANIEL SULLIVAN, SDNY.

2. Will follow civil action with AUSA BRIAN GALLAGHER, SDNY.

ACCOMPLISHMENTS CLAIMED						<input checked="" type="checkbox"/> NONE	ACQUIT-TALS	CASE HAS BEEN: PENDING OVER ONE YEAR <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO PENDING PROSECUTION OVER SIX MONTHS <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
CONVIC.	AUTO.	FUG.	FINES	SAVINGS	RECOVERIES			
APPROVED						SPECIAL AGENT IN CHARGE	DO NOT WRITE IN SPACES BELOW	
COPIES MADE:							46-51211-60	REC-40
4-Bureau (46-51211)								ST-117
1-USA, SDNY (ATT: AUSA SULLIVAN)							9 MAY 27 1970	
1-USA, SDNY (ATT: AUSA GALLAGHER)								
2-New York (46-6700)								
Dissemination Record of Attached Report						Notations		
Agency	1-SBA					SIX STAT. SECT.		
Request Recd.	2-BAO							
Date Fwd.								
How Fwd.								
By	54 JUN 9 1970					JS: [initials] 6/1/70 A*		

COVER PAGE

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to: 1-USA, SDNY (ATT: AUSA DANIEL SULLIVAN)
1-USA, SDNY (ATT: AUSA BRIAN GALLAGHER)

Report of: O. EUGENE SMITH
Date: 5/25/70

Office: New York, New York

Field Office File #: 46-6700

Bureau File #: 46-51211

Title:

ET AL

b6
b7C

Character: FRAUD AGAINST THE GOVERNMENT; MISCELLANEOUS - CIVIL SUIT;
FEDERAL LENDING AND INSURANCE AGENCIES - SMALL BUSINESS
INVESTMENT COMPANIES

Synopsis:

AUSA advised that US District Judge HAROLD R. TYLER, SDNY has advised him that he is going to schedule this matter for trial in the fall of 1970.

-P-

DETAILS:

On May 20, 1970, Assistant United States Attorney DANIEL SULLIVAN, Southern District of New York (SDNY) advised that United States District Judge HAROLD R. TYLER, SDNY has advised him that he is going to schedule this matter for trial in the fall of 1970. He advised that a definite trial date has not been set in this matter.

-1*-

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE 7/22/70	INVESTIGATIVE PERIOD 6/18/70 - 7/16/70
TITLE OF CASE [REDACTED] ET AL		REPORT MADE BY O. EUGENE SMITH	TYPED BY dpk
		CHARACTER OF CASE FAG; MISCELLANEOUS-CIVIL SUIT; FEDERAL LENDING AND INSURANCE AGENCIES-SMALL BUSINESS INVESTMENT COMPANIES	

REFERENCE:

Report of SA O. EUGENE SMITH, dated 5/25/70,
at New York.

-P-

LEADS:

NEW YORK

AT NEW YORK, NEW YORK. 1. Will follow criminal
prosecution with AUSA DANIEL SULLIVAN, SDNY.

2. Will follow civil action with AUSA BRIAN
GALLAGHER, SDNY.

ACCOMPLISHMENTS CLAIMED						<input checked="" type="checkbox"/> NONE	ACQUIT- TALS	CASE HAS BEEN: PENDING OVER ONE YEAR <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO PENDING PROSECUTION OVER SIX MONTHS <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
CONVIC.	AUTO.	FUG.	FINES	SAVINGS	RECOVERIES			
APPROVED [Signature]						SPECIAL AGENT IN CHARGE		
COPIES MADE:						DO NOT WRITE IN SPACES BELOW		
④ - Bureau (46-51211)						46-51211-61 REC-39		
1 - USA, SDNY (ATT: AUSA SULLIVAN)						REC-39		
1 - USA, SDNY (ATT: AUSA GALLAGHER)						EX-100		
2 - New York (46-6700)						JUL 24 1970		
Dissemination Record of Attached Report						Notations		
Agency	1-SBA					STAT SECT.		
Request Recd.	2-RAO							
Date Fwd.								
How Fwd.								
By	36							

AUG 3 1970

-A*-

COVER PAGE

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to:

1 - USA, SDNY (ATT: AUSA SULLIVAN)
1 - USA, SDNY (ATT: AUSA GALLAGHER)

Report of:

O. EUGENE SMITH

Office: New York, New York

Date:

July 22, 1970

Field Office File #:

46-6700

Bureau File #:

46-51211

Title:

ET AL

b6
b7C

Character:

FRAUD AGAINST THE GOVERNMENT; MISCELLANEOUS-CIVIL SUIT;
FEDERAL LENDING AND INSURANCE AGENCIES-
SMALL BUSINESS INVESTMENT COMPANIES

Synopsis:

AUSA, SDNY, advised that this matter is still on the trial calendar of US District Judge HAROLD R. TYLER, SDNY, and is scheduled for trial in the Fall of 1970.

-P-

DETAILS:

On July 16, 1970, Assistant United States Attorney (AUSA) DANIEL SULLIVAN, Southern District of New York (SDNY), advised that this matter is still on the trial calendar of United States District Judge HAROLD R. TYLER, SDNY, and that this matter is scheduled for trial in the Fall of 1970. He advised that a definite trial date has not been set in this matter.

- 1* -

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE SEP 20 1970	INVESTIGATIVE PERIOD 8/21 - 9/22/70
TITLE OF CASE O [REDACTED] ET AL		REPORT MADE BY O. EUGENE SMITH	TYPED BY ji
		CHARACTER OF CASE FAG; MISCELLANEOUS-CIVIL SUIT; FEDERAL LENDING AND INSURANCE AGENCIES-SMALL BUSINESS INVESTMENT COMPANIES	

REFERENCE

Report of SA O. EUGENE SMITH, dated 7/22/70⁽⁶⁾, at NY.

- P -

LEADSNEW YORK

AT NEW YORK, NEW YORK. 1. Will follow criminal prosecution with AUSA DANIEL SULLIVAN, SDNY.

2. Will follow civil action with AUSA BRIAN GALLAGHER, SDNY.

ACCOMPLISHMENTS CLAIMED						<input checked="" type="checkbox"/> NONE	ACQUIT- TALS	CASE HAS BEEN: PENDING OVER ONE YEAR <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO PENDING PROSECUTION OVER SIX MONTHS <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
CONVIC.	AUTO.	FUG.	FINES	SAVINGS	RECOVERIES			

APPROVED COPIES MADE: ④ - Bureau (46-51211) 1 - USA, SDNY (ATT: AUSA SULLIVAN) 1 - USA, SDNY (ATT: AUSA GALLAGHER) 2 - New York (46-6700)	SPECIAL AGENT IN CHARGE JSM/c	DO NOT WRITE IN SPACES BELOW 46-51211-62 REC-39 6 SEP 30 1970 107 100
--	---	--

Dissemination Record of Attached Report				Notations
Agency	Request Recd.	Date Fwd.	How Fwd.	
1-SBH	2-RAD			LER 10/8/70 SIX STAR-SECT.

59 OCT 9 1970

- A* -
COVER PAGE

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to: 1 - USA, SDNY (ATT: AUSA SULLIVAN)
1 - USA, SDNY (ATT: AUSA GALLAGHER)

Report of: O. EUGENE SMITH
Date: SEP 28 1970 Office: New York, New York

Field Office File #: 46-6700 Bureau File #: 46-51211

Title:
ET AL

b6
b7C

Character: FAG; MISCELLANEOUS - CIVIL SUIT;
FEDERAL LENDING AND INSURANCE
AGENCIES - SMALL BUSINESS
INVESTMENT COMPANIES

Synopsis: AUSA, SDNY, advised that this matter is still on
the trial calendar of US District Judge HAROLD R.
TYLER, SDNY, and is scheduled for trial in Fall of 1970.

- P -

DETAILS:

On September 22, 1970, Assistant United States Attorney (AUSA) DANIEL SULLIVAN, Southern District of New York (SDNY), advised that this matter is still on the trial calendar of United States District Judge HAROLD R. TYLER, SDNY, and that this matter is scheduled for trial in the Fall of 1970. He advised that a definite trial date has not been set in this matter.

- 1* -

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE NOV 27 1970	INVESTIGATIVE PERIOD 10/21-11/19/70
TITLE OF CASE [REDACTED] ET AL		REPORT MADE BY O. EUGENE SMITH	TYPED BY mfe b6 b7c
		CHARACTER OF CASE FAG; MISCELLANEOUS-CIVIL SUIT; FEDERAL LENDING AND INSURANCE AGENCIES-SMALL BUSINESS INVESTMENT COMPANIES	

REFERENCE:Report of SA O. EUGENE SMITH, dated 9/28/70⁶², at Y.

-P-

LEADS:NEW YORK

AT NEW YORK, NEW YORK. 1. Will follow criminal prosecution with AUSA DANIEL SULLIVAN, SDNY.

2. Will follow civil action with AUSA BRIAN GALLAGHER, SDNY.

ACCOMPLISHMENTS CLAIMED					<input checked="" type="checkbox"/> NONE	ACQUIT- TALS	CASE HAS BEEN:		
CONVIC.	AUTO.	FUG.	FINES	SAVINGS	RECOVERIES				
							PENDING OVER ONE YEAR <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO PENDING PROSECUTION OVER SIX MONTHS <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO		
APPROVED COPIES MADE:					SPECIAL AGENT IN CHARGE			DO NOT WRITE IN SPACES BELOW	
4-Bureau (46-51211) 1-USA, SDNY (ATT: AUSA SULLIVAN) 1-USA, SDNY (ATT: AUSA GALLAGHER) 2-New York (46-6700)					46-51211-63 REC-79 EX-106 22 DEC 2 1970				
Dissemination Record of Attached Report					Notations				
Agency	15BA				WAF 12/14/70 STAT SECT				
Request Recd.	2RAD								
Date Fwd.									
How Fwd.									
By									

57 DEC 15 1970

-A*-
COVER PAGE

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to: 1 - USA, SDNY (ATTN: AUSA SULLIVAN)
1 - USA, SDNY (ATTN: AUSA GALLAGHER)

Report of: O. EUGENE SMITH
Date: NOV 27 1970

Office: NEW YORK, NEW YORK

Field Office File #: 46-6700

Bureau File #: 46-51211

Title:

ET AL

b6
b7C

Character: FAG; MISCELLANEOUS - CIVIL SUIT;
FEDERAL LENDING AND INSURANCE
AGENCIES - SMALL BUSINESS
INVESTMENT COMPANIES

Synopsis: AUSA, SDNY, advised that he expects this case to go
to trial in January, 1971.

- P -

DETAILS:

On November 19, 1970, Assistant United States Attorney (AUSA), DANIEL SULLIVAN, Southern District of New York (SDNY), advised that he expects this case to go to trial in January, 1971.

- 1* -

F B I

Date: 12/11/70

Transmit the following in _____
(Type in plaintext or code)Via AIRTEL _____
(Priority)

TO : DIRECTOR, FBI (46-51211)
FROM : SAC, NEW YORK (46-6700)
SUBJECT: [REDACTED]
FRANCIS PETER CROSBY;
ET AL
FAG
(OO: NY)

b6
b7C

For information of San Diego, FRANCIS PETER CROSBY, RAYMOND PIERSON, and VINCENT JOSEPH CALISE were indicted by a FGJ in the SDNY on May 9, 1969 in which indictment they were charged in part with misapplication of funds of Roosevelt Capital Corporation which corporation was located in Garden City, New York. The three defendants have entered pleas of not guilty to the charges in the indictment.

On 12/10/70, AUS. DANIEL SULLIVAN, SDNY, advised S. O. EUGENE SMITH, that this matter was scheduled for trial on January 5, 1971.

b7D

- [REDACTED]
- [REDACTED]
- ② - Bureau
 - 2 - San Diego
 - 1 - New York

REC 18

46-51211-64

13 DEC 14 1970

OES:mav
(6)

Approved

Special Agent in Charge

Sent

M

Per

NY 46-6700



b7D

San Diego is requested to immediately contact



b7D

immediately submit same to the NYC by expedite means.

FEDERAL BUREAU OF INVESTIGATION
COMMUNICATIONS SECTION

DEC 16 1970

TELETYPE

Mr. Tolson	_____
Mr. Sullivan	_____
Mr. Mohr	_____
Mr. Bishop	_____
Mr. Brennan	CD_____
Mr. Callahan	_____
Mr. Casper	_____
Mr. Conrad	_____
Mr. Felt	_____
Mr. Gale	_____
Mr. Rosen	✓_____
Mr. Tavel	_____
Mr. Walters	_____
Mr. Soyars	_____
Tele. Room	_____
Miss Holmes	_____
Miss Gandy	_____

NR014 NY PLAIN


1145AM URGENT 12-16-70 EMH

TO DIRECTOR (46-51211)

SAN DIEGO

FROM NEW YORK (46-6700)

Handwritten initials

 FRANCIS PETER CROSBY- ET AL, FAG, 00 -

b6
b7C

NEW YORK.

Handwritten circle

CR

REFERENCE NEW YORK AIRTEL, TWELVE ELEVEN LAST¹⁴ - NEW YORK
TELEPHONE CALL TO SAN DIEGO, TWELVE FIFTEEN LAST.

AUSA DANIEL SULLIVAN, SDNY, ADVISED SA O. EUGENE SMITH,
ON TWELVE FIFTEEN LAST FOLLOWS.

b7D



1970

END PAGE ONE

F449
51 DEC 21 1970

Handwritten signature

PAGE TWO

b7D

SAN DIEGO IS REQUESTED TO HANDLE THIS MATTER IN THE
MANNER SUGGESTED BY AUSA SULLIVAN.

END

9) \$HOLD

RSP FBI WASH DC

UNITED STATES GOVERNMENT

Memorandum

A TO : DIRECTOR, FBI (46-51211)

DATE: 1/12/71

FROM : JFM/c SAC, NEW YORK (46-6700)

SUBJECT:

FRANCIS PETER CROSBY;
ET AL
FAG
(OO: NY)

ReNYairtel, 12/11/70.⁶⁴

Trial date in this matter has been postponed until approximately the first week in February, 1971.

NY will advise Bureau when firm trial date has been set.

b6
b7C

SI-100

REC-45

46-51211-66

JAN 13 1971

② - Bureau
1 - New York

OES:may

(3)

JAN 15 1971



F B I

Date: 2/5/71

Transmit the following in _____
(Type in plaintext or code)Via AIRTEL _____
(Priority)

TO: DIRECTOR, FBI (46-51211)

FROM: SAC, NEW YORK (46-6700)

SUBJECT:
FRANCIS PETER CROSBY;
ET AL
FAG
(OO: NY)b6
b7c

ReNYlet to Bureau, 1/12/71.

Trial in this matter scheduled to commence on
Monday, 2/8/71.

Report will be submitted.

② - Bureau
1 - New YorkOES:mmz
(4)

REC-6 46-51211-67

EX-111 FEB 9 1971

SIX

54 FEB 12 1971

Approved: _____
Special Agent in Charge

Sent _____ M Per _____

F B I

Date: 2/9/71

Transmit the following in _____
(Type in plaintext or code)Via AIRTEL _____
(Priority)

TO: DIRECTOR, FBI (46-51211)
FROM: SAC, NEW YORK (46-6700)
SUBJECT:
FRANCIS PETER CROSBY;
ET AL
FAG
OO: NY

b6
b7c

Trial in this matter commenced today. AUSA DANIEL SULLIVAN, SDNY, requested SA O. EUGENE SMITH today to sit at counsel table in order to assist him in handling numerous documents of a complex nature.

UACB, SA O. EUGENE SMITH will sit at counsel table during trial.

EX-115

REC-66 46-51211-68

2- Bureau
1- New York

OES:dhs
(4)

8 FEB 10 1971

Approved: 77m / B

Special Agent in Charge

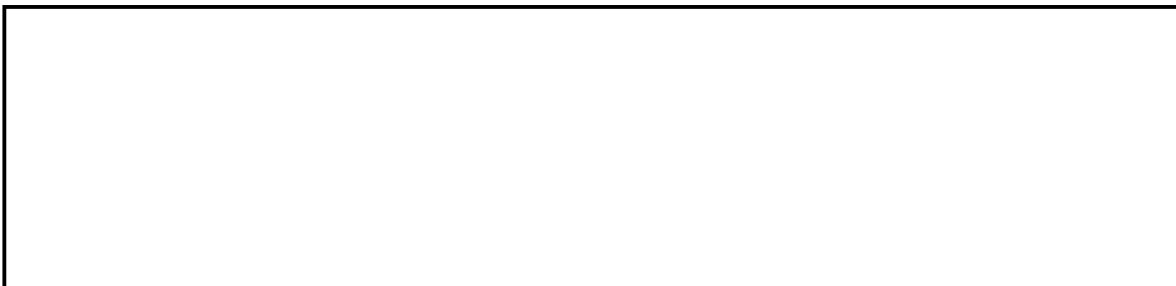
Sent _____ M Per _____

F B I

Date: 2/12/71

Transmit the following in _____
(Type in plaintext or code)Via AIRTEL _____
(Priority)

TO: DIRECTOR, FBI (46-51211)
FROM: SAC, NEW YORK (46-6700)
SUBJECT:
FRANCIS PETER CROSBY;
ET AL
FAG
(OO: NY)

ReNYairtel, 2/9/71. ⁶⁴

(2) - Bureau
1 - New York

OES:mav
(4)

REC-64

EX-104

46-51211-69

2 FEB 13 1971

Approved: XX ml e

56 FEB 22 1971

Special Agent in Charge

Sent _____ M Per _____

b6
b7C

b7D

F B I

Date: 2/23/71

Transmit the following in _____
(Type in plaintext or code)Via AIRTEL _____
(Priority)

TO: DIRECTOR, FBI (46-51211)

FROM: SAC, NEW YORK (46-6700)

SUBJECT:
FRANCIS PETER CROSBY;
ET AL
FAG
(OO: NY)b6
b7c

ReNYairtel, 2/12/71.

Jury returned verdict of "Guilty" on 2/19/71
against FRANCIS PETER CROSBY and VINCENT JOSEPH CALISE.
Sentencing date set for 3/19/71

Report will be submitted.

2 - Bureau
1 - New York

OES:mmz
(4)

EX-104

REC-71

46-51211-70
6 FEB 24 1971

Approved: [Signature]
Special Agent in Charge

Sent _____ M Per _____

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE 2/25/71	INVESTIGATIVE PERIOD 12/10/70 - 2/19/71
TITLE OF CASE ET AL		REPORT MADE BY O. EUGENE SMITH	TYPED BY oesb6 b7c
		CHARACTER OF CASE FAG; MISCELLANEOUS - CIVIL SUIT; FEDERAL LENDING AND INSURANCE AGENCIES - SMALL BUSINESS INVEST- MENT COMPANIES	

REFERENCES: Report of SA O. EUGENE SMITH dated 11/27/70 at New York
 NY Airtel dated 2/11/70 64
 NY Teletype dated 12/16/70 65
 San Diego Letter dated 12/21/70 (IO)
 NY Letter dated 1/12/71 66
 NY Airtel dated 2/5/71 67
 NY Airtel dated 2/9/71 68
 NY Airtel dated 2/12/71 69
 NY Airtel dated 2/23/71 70

- P -

LEADSNEW YORK

AT NEW YORK, NEW YORK: 1. Will follow criminal prosecution with AUSA DANIEL SULLIVAN, SDNY.
 2. Will follow civil action with AUSA BRIAN GALLAGHER, SDNY.

ACCOMPLISHMENTS CLAIMED					<input checked="" type="checkbox"/> NONE	ACQUIT- TALS	CASE HAS BEEN: PENDING OVER ONE YEAR <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO PENDING PROSECUTION OVER SIX MONTHS <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
CONVIC.	AUTO.	FUG.	FINES	SAVINGS	RECOVERIES		
APPROVED <i>JFM</i>						SPECIAL AGENT IN CHARGE	
COPIES MADE:						DO NOT WRITE IN SPACES BELOW	
④ - BUREAU (46-51211) 1 - USA, SDNY (ATT: AUSA SULLIVAN) 1 - USA, SDNY (ATT: AUSA GALLAGHER) 2 - NEW YORK (46-6700)						46-51211-71 REC-20 7 MAR 1 1971 STAT. SECT.	
Dissemination Record of Attached Report						Notations	
Agency	1-SBA 2-RAD						
Request Recd.							
Date Fwd.							
How Fwd.	301						
By	56 MAR 16 1971					LER 3/12/71	

COVER PAGE A*

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to: 1 - USA, SDNY (ATT: AUSA DANIEL SULLIVAN)
1 - USA, SDNY (ATT: BRIAN GALLAGHER)

Report of: O. EUGENE SMITH Office: NEW YORK, NEW YORK
Date: 2/25/71

Field Office File #: 46/6700 Bureau File #: 46-51211

Title:
ET AL

b6
b7C

Character: FRAUD AGAINST THE GOVERNMENT; MISCELLANEOUS -
CIVIL SUIT; FEDERAL LENDING AND INSURANCE AGENICES-
SMALL BUSINESS INVESTMENT COMPANIES

Synopsis:

RAYMOND PIERSON on 2/9/71 entered plea of guilty to count one of indictment previously returned against him - no date set for sentencing. Trial in this matter commenced on 2/9/71 and Jury returned verdict of Guilty on 2/19/71 against FRANCIS PETER CROSBY on all six counts of indictment previously returned against him and a verdict of Guilty against VINCENT JOSEPH CALISE to the one count in the indictment previously returned against him - sentencing date set for 3/19/71. CROSBY released on \$25,000.00 OR Bond and his travel was restricted to Continental United States. CALISE and PIERSON released on OR. Detailed review of records of Roosevelt Capital Corporation and other companies made and appears in work papers prepared. Summary of disbursements of funds from Roosevelt Capital Corporation set forth.

- P -

DETAILS:

On December 10, 1970, Assistant United States Attorney (AUSA) DANIEL SULLIVAN, Southern District of New York (SDNY) advised SA O. EUGENE SMITH that this matter was scheduled for trial on January 5, 1971.

b7D

NY 46-6700

b7D

FEDERAL BUREAU OF INVESTIGATION

1

December 21, 1970

Date



b7D

b6
b7C
b7Db6
b7C
b7D

On 12/16/70 at Vista, California File # MY 46-6700
SD 46-2451

by SA [redacted] /jj - 2a - Date dictated 12/17/70

b6
b7C

This document contains neither recommendations nor conclusions of the FBI. It is the property of the FBI and is loaned to your agency; it and its contents are not to be distributed outside your agency.

NY 46-6700.

On January 5, 1971, AUSA DANIEL SULLIVAN, SDNY, advised SA O. EUGENE SMITH that trial in this matter has been postponed until approximately the first week in February 1971.

On February 9, 1971, AUSA SULLIVAN advised SA O. EUGENE SMITH that trial in this matter commenced on this date. RAYMOND PIERSON entered a plea of guilty to count one of the indictment previously returned against him [REDACTED]

b7E

[REDACTED] No date has been set for sentencing of PIERSON.

On February 19, 1971, AUSA DANIEL SULLIVAN, SDNY, advised that the Jury returned a verdict of Guilty on this date against FRANCIS PETER CROSBY on all six counts of the indictment previously returned against him and a verdict of Guilty against VINCENT JOSEPH CALISE to the one count in the indictment previously returned against him. CROSBY was released on \$25,000.00 own recognizance bond and his travel was restricted to continental United States. CALISE and PIERSON released on their own recognizance.

AUSA SULLIVAN further advised that sentencing date for CROSBY and CALISE has been set for March 19, 1971.

FEDERAL BUREAU OF INVESTIGATION

12/8/71

Date _____

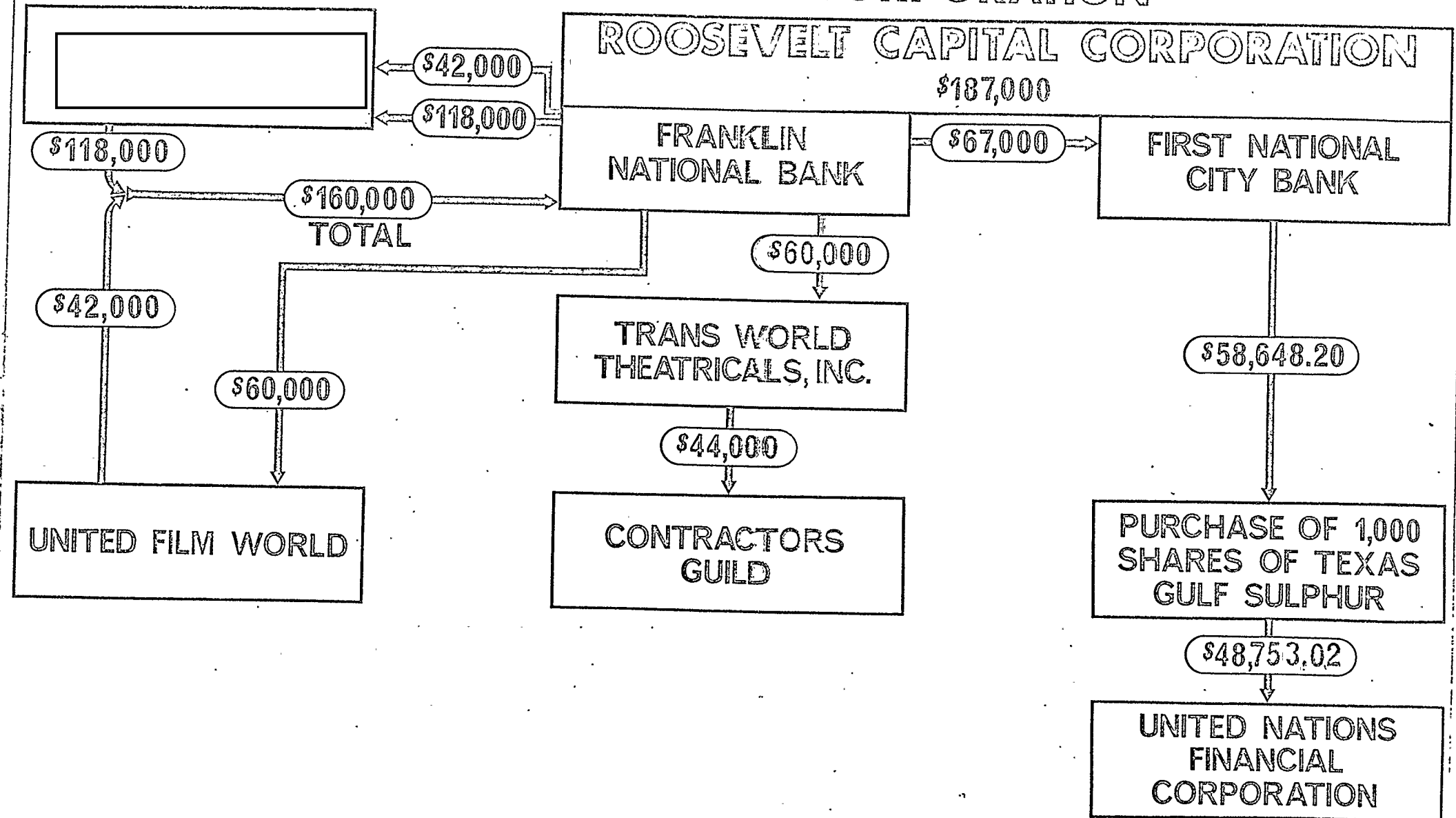
A detailed review of the available records pertaining to Roosevelt Capital Corporation, United Film World, Trans World Theatricals, Inc., Contractors Guild, and United Nations Financial Corporation was made and appears in the work papers prepared in this case.

Set forth is a Summary of Disbursements of Funds from Roosevelt Capital Corporation. A further breakdown of the disbursement of funds appears in the workpapers prepared in this matter.

On 12/10/70 to
2/8/71 at NEW YORK CITY File # NY 46-6700
by SA O. EUGENE SMITH Date dictated 12/8/71

- 4 -

SUMMARY OF DISBURSEMENT OF FUNDS FROM ROOSEVELT CAPITAL CORPORATION



FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE 4/9/71	INVESTIGATIVE PERIOD 3/19/71 - 3/26/71
TITLE OF CASE ET AL		REPORT MADE BY O. EUGENE SMITH	TYPED BY amk
		CHARACTER OF CASE FAG; MISCELLANEOUS - CIVIL SUIT; FEDERAL LENDING AND INSURANCE AGENCIES - SMALL BUSINESS INVEST- MENT COMPANIES	

b6
b7cREFERENCE

Report of SA O. EUGENE SMITH, dated 2/25/71, at NY.

ENCLOSURES (2)

-P-

TO BUREAU

One copy each of Final Disposition Report re FRANCIS PETER CROSBY and VINCENT JOSEPH CALISE.

LEADSNEW YORK

AT NEW YORK, NEW YORK. 1. Will follow and report sentencing of RAYMOND PIERSON.

ACCOMPLISHMENTS CLAIMED						<input type="checkbox"/> NONE	ACQUIT- TALS	CASE HAS BEEN: PENDING OVER ONE YEAR <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO PENDING PROSECUTION OVER SIX MONTHS <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
CONVIC	AUTO.	FUG.	FINES	SAVINGS	RECOVERIES			
2								

APPROVED <i>[Signature]</i>	SPECIAL AGENT IN CHARGE	DO NOT WRITE IN SPACES BELOW	
COPIES MADE: ④-Bureau (46-51211) (Encls. 2) 1-USA, SDNY (ATTN: AUSA SULLIVAN) 1-USA, SDNY (ATTN: AUSA GALLAGHER) 2-New York (46-6700)		46-51211-72	REC-83
		APR 12 1971	EX-103

Dissemination Record of Attached Report			
Agency	2-RAO	1-SBA	
Request Recd.			
Date Fwd.			
How Fwd.			
By			

Notations

STAT. SEC.
4/13/71

55 MAY 10 1971

COVER PAGE

2 DISPOSITION SHEET DETACHED AND HANDLED SEPARATELY

NY 46-6700

(LEADS con't)

2. Will follow and report other prosecutive action taken in this matter.

3. Will follow civil action with AUSA BRIAN GALLAGHER, SDNY.

-B*-
COVER PAGE

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to: 1 - USA, SDNY (ATTN: AUSA DANIEL SULLIVAN)
1 - USA, SDNY (ATTN: AUSA BRIAN GALLAGHER)

Report of: O. EUGENE SMITH Office: New York, New York
Date: 4/9/71

Field Office File #: 46-6700 Bureau File #: 46-51211

Title:
ET AL

b6
b7c

Character: FRAUD AGAINST THE GOVERNMENT; MISCELLANEOUS - CIVIL
SUIT; FEDERAL LENDING AND INSURANCE AGENCIES - SMALL
BUSINESS INVESTMENT COMPANIES

Synopsis:

On 3/26/71, FRANCIS PETER CROSBY sentenced to interim sentence of temporary commitment not to exceed three months, unless extended, for study to advise the court pending final sentencing - imposition of sentence to commence 4/13/71; VINCENT JOSEPH CALISE sentenced to one year and a day, imposition of sentence delayed pending outcome of appeal. Sentencing of FRANCIS PETER CROSBY was for violation of Title 18, USC, Section 657, 371 and 2. Sentencing of VINCENT JOSEPH CALISE was for violation of Title 18, USC, Section 657 and 371. No sentencing date set for RAYMOND PIERSON.

-P-

DETAILS

On March 19, 1971, Assistant United States Attorney (AUSA) DANIEL SULLIVAN, Southern District of New York (SDNY), advised that sentencing date in this matter has been reset for March 26, 1971.

On March 26, 1971, AUSA DANIEL SULLIVAN advised that FRANCIS PETER CROSBY and VINCENT JOSEPH CALISE appeared in United States District Court, SDNY, before Judge HAROLD R. TYLER, JUNIOR at which time they were sentenced as follows:

FRANCIS PETER CROSBY sentenced to interim sentence of temporary commitment not to exceed three months, unless extended, for study to advise the court pending final sentencing - imposition of sentence to commence April 13, 1971; VINCENT JOSEPH CALISE sentenced to one year and a day, imposition of

NY 46-6700

sentence delayed pending outcome of appeal. Sentencing of FRANCIS PETER CROSBY was for violation of Title 18, United States Code (USC), Sections 657, 371, and 2. Sentencing of VINCENT JOSEPH CALISE was for violation of Title 18, USC, Section 657 and 371.

AUSA SULLIVAN further advised that no sentencing date has been set for RAYMOND PIERSON.

UNITED STATES GOVERNMENT

Memorandum

TO : DIRECTOR, FBI (46-51211)

DATE: 5/28/71

FROM : SAC, NEW YORK (46-6700) (P)

SUBJECT: ET AL; FAG:
MISCELLANEOUS - CIVIL SUIT:
FEDERAL LENDING AND INSURANCE AGENCIES
SMALL BUSINESS INVESTMENT COMPANIES

b6
b7C

Re: Report of SA O. EUGENE SMITH dated 4/9/71 at NY.

AUSA DANIEL SULLIVAL, SDNY, advised SA O. EUGENE SMITH on 5/18/71 that RAYMOND PIERSON appeared in United States District Court, Southern District of New York on 5/14/71, at which time he was sentenced to serve two years in the custody of the Attorney General -- imposition of sentence suspended and placed on two years probation.

NY will submit report.

(2) - Bureau
1 - New York

OES:oes
(3)

REC-53
EX-113

46-51211-73

8 JUN 2 1971



5010-108

JUN 10 1971

Buy U.S. Savings Bonds Regularly on the Payroll Savings Plan

F B I

Date: 6/15/71

Transmit the following in _____
(Type in plaintext or code)Via AIRTEL _____
(Priority)

TO: DIRECTOR, FBI (46-51211)
FROM: SAC, NEW YORK (46-6700)
SUBJECT: ET AL; FAG:
MISCELLANEOUS - CIVIL SUIT:
FEDERAL LENDING AND INSURANCE AGENCIES
SMALL BUSINESS INVESTMENT COMPANIES

b6
b7c

ReNYairtel to Bureau, 5/28/71.

AUSA DANIEL SULLIVAN, SDNY, advised SA O. EUGENE SMITH on 5/18/71 that RAYMOND PIERSON appeared in the USDC, SDNY, on 5/14/71, at which time he was sentenced to serve two years in the custody of the Attorney General -- imposition of sentence suspended and placed on two years probation.

RAYMOND PIERSON was sentenced for violation of Title 18, USC, Section 657.

ACCOMPLISHMENTS CLAIMED: ONE CONVICTION.

② - Bureau
1 - New York

OES:vr
(4)

EX-114

REC-11

12 JUN 13 1971

70 JUL 12 1971

Approved: _____

Special Agent in Charge

Sent _____

M

Per _____

J. E. Whitaker

SAC, New York (46-6700)

7/27/71

Director, FBI (46-51211)

PERSONAL ATTENTION

[REDACTED]
LT AL

PAG; MISCELLANEOUS - CIVIL SUIT

FLIA - CBIC

OO: NY

1 - Mr. Pringle
1 - Mr. Bezdek (Guidance)
1 - FOF

b6
b7C

The New York Office returned an O-1 Form dated 6/3/71, advising that a report would be submitted by 6/30/71. No record can be found by the Bureau of the receipt of a report in this matter. If a report has not been submitted, New York furnish reasons that the 6/30/71 deadline imposed by the New York Office was not met, and in the event it is found that this case has not been properly handled, New York should submit recommendations for administrative action.

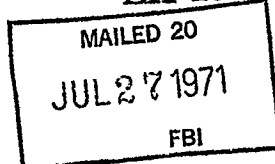
A review of the Bureau file in this matter revealed that the only remaining investigation in this case is to report the sentence of one of the subjects, which sentence was imposed at U. S. District Court, Southern District of New York, on May 14, 1971. While it is realized, New York forwarded an airtel dated 6/15/71 setting forth the sentence, a report still must be submitted in order to advise interested Government agencies of the ultimate prosecution in this matter.

If a report has not been submitted, New York advise the date a report may be expected by the Bureau.

JDP:bjp
(6)

EX 101

REC- 66



46-51211-75

19 JUL 28 1971

650

61 AUG 2 1971

MAIL ROOM ☒ TELETYPE UNIT ☐

Tolson _____
Felt _____
Sullivan _____
Mohr _____
Bishop _____
Brennan, C.D. _____
Callahan _____
Casper _____
Conrad _____
Dalbey _____
Gale _____
Ponder _____
Rosen _____
Tavel _____
Walters _____
Soyars _____
Tele. Room _____
Holmes _____
Gandy _____

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE JUL 1971	INVESTIGATIVE PERIOD 5/13/71 - 7/26/71
TITLE OF CASE [REDACTED] ET AL		REPORT MADE BY O. EUGENE SMITH	TYPED BY prah b6 b7C
		CHARACTER OF CASE FAG; MISCELLANEOUS - CIVIL SUIT; FEDERAL LENDING AND INSURANCE AGENCIES- SMALL BUSINESS INVESTMENT COMPANIES	

REFERENCE:

New York airtel to Bureau, dated 6/15/71.

ENCLOSURE:

TO BUREAU (1)

Enclosed is one copy of Final Disposition Sheet re
RAYMOND PIERSON.ADMINISTRATIVE:By routing slip dated 7/8/71, Bureau advised conviction
claimed in referenced NYairtel was not taken in June 1971; therefore,

ACCOMPLISHMENTS CLAIMED						<input type="checkbox"/> NONE	ACQUIT- TALS	CASE HAS BEEN:
CONVIC.	AUTO.	FUG.	FINES	SAVINGS	RECOVERIES			
1								PENDING OVER ONE YEAR <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO PENDING PROSECUTION OVER SIX MONTHS <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO

APPROVED [Signature]	SPECIAL AGENT IN CHARGE	DO NOT WRITE IN SPACES BELOW	
COPIES MADE: 4-Bureau (46-51211) (Encl. 1) 1-USA, SDNY (ATT: AUSA SULLIVAN) 1-USA, SDNY (ATT: AUSA RIESEL) 2-New York (46-6700)		46-51211-76 JUL 30 1971 REG-34 EX-105	

Dissemination Record of Attached Report				Notations [Signature]
Agency	15BA	2RAD		
Request Recd.				
Date Fwd.				
How Fwd.	58SEP3-1971			
By				

COVER PAGE

STAT. SECT.

1-FLIA conviction
Ser NY [Signature]2 copies of rpt. attached depicting accounting & fraud
composition sheet depicting separately
AND HANDLED SEPARATELY

NY 46-6700

ADMINISTRATIVE CONTINUED:

conviction is being claimed in this report.

LEAD:

NEW YORK

AT NEW YORK, NEW YORK. Will follow civil proceedings
with AUSA DANIEL RIESSEL, SDNY.

COVER PAGE

-E*-

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to: 1-USA, SDNY (ATT: AUSA DANIEL SULLIVAN)
1-USA, SDNY (ATT: AUSA DANIEL RIESEL)

Report of: O. EUGENE SMITH Office: New York, New York
Date: JUL 27 1971

Field Office File #: 46-6700 Bureau File #: 46-51211

Title:
ET AL;

b6
b7c

Character: FRAUD AGAINST THE GOVERNMENT; MISCELLANEOUS - CIVIL SUIT;
FEDERAL LENDING AND INSURANCE AGENCIES - SMALL BUSINESS
INVESTMENT COMPANIES

Synopsis: RAYMOND PIERSON was sentenced on 5/14/71, in SDNY, to
serve two years in custody of Attorney General for
violation of Title 18, USC, Section 657; imposition of
sentence suspended and he was placed on two years
probation. Civil trial in this matter expected to
commence in November 1971.

-P-

DETAILS:

Assistant United States Attorney (AUSA) DANIEL SULLIVAN, Southern District of New York (SDNY), advised SA O. EUGENE SMITH, on May 19, 1971, that RAYMOND PIERSON appeared in United States District Court (USDC), SDNY, on May 14, 1971, at which time he was sentenced to serve two years in the custody of the Attorney General for violation of Title 18, United States Code (USC), Section 657. Imposition of sentence was suspended and RAYMOND PIERSON was placed on two years probation.

On July 26, 1971, AUSA DANIEL RIESEL, SDNY, advised SA O. EUGENE SMITH that he expects a civil trial in this matter to commence approximately November 1971.

-1*-

UNITED STATES GOVERNMENT

Memorandum

TO : DIRECTOR, FBI (46-51211)

DATE: 7/30/71

FROM : SAC, NEW YORK (46-6700)

SUBJECT:

ET AL

FAG; MISCELLANEOUS - CIVIL SUIT

FLIA - SBIC

(OO: NY)

ReBulet to NY, 7/27/71.

NY did not submit a report in this matter on 6/30/71 due to the fact that the case agent, SA O. EUGENE SMITH was involved in another expedite official matter and

During June and July, SA SMITH was handling the very complicated and involved investigation of the Obstruction of Justice aspect of the case entitled "EVANS AMITYVILLE DAIRY, INC.; ET AL", Bufile 49-17868, NYfile 49-4536. Investigation of this matter involved the use of body transmitters; the obtaining of Title III wire tap; travel to Baltimore, Maryland, and the coordination of simultaneous interviews.

Supervisory measures recently set up to avoid similar instances did not bring this situation to light because of a misconception that the June 15, 1971 communication had been a report. In view of the above, no administrative action is recommended.

Captioned matter is now awaiting civil trial action and a pending report was submitted 7/27/71.

Prompt reporting and proper handling of matters involving government agencies as well as attention to details have been thoroughly discussed with the case agent and supervisory personnel involved and re-iterated to all agents handling these matters.

REC-30 46-51211-17
EX-113

- ② - Bureau
- 1 - New York

VJC:mav
(3)

55 AUG 9 1971

Buy U.S. Savings Bonds Regularly on the Payroll Savings Plan



b6
b7C

b6
b7C

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE 9/30/71	INVESTIGATIVE PERIOD 8/26 - 9/30/71
TITLE OF CASE [REDACTED] ET AL		REPORT MADE BY O. EUGENE SMITH	TYPED BY OEb6
		CHARACTER OF CASE MISCELLANEOUS - CIVIL SUIT	b7C

REFERENCEReport of SA O. EUGENE SMITH dated 7/27/71⁷⁵ at New York.

- P -

LEADNEW YORKAT NEW YORK, NEW YORK

Will follow civil action in this matter with AUSA DANIEL RIESEL, SDNY.

ACCOMPLISHMENTS CLAIMED						<input checked="" type="checkbox"/> NONE	ACQUIT-TALS	CASE HAS BEEN:
CONVIC.	AUTO.	FUG.	FINES	SAVINGS	RECOVERIES			
								PENDING OVER ONE YEAR <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
								PENDING PROSECUTION OVER SIX MONTHS <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
APPROVED <i>[Signature]</i>						SPECIAL AGENT IN CHARGE		
COPIES MADE						DO NOT WRITE IN SPACES BELOW		
(3) - BUREAU (46-51211) 1 - USA, SDNY (ATT: AUSA RIESEL) 2 - NEW YORK (46-6700)						46-51211-78		REC-6
						OCT 4 1971		EX-103
Dissemination Record of Attached Report						Notations		
Agency	100 RAO, CIVIL					SIX STAT. SECT.		
Request Recd.	10-63							
Date Fwd.	OCT 6 1971							
How Fwd.								
By	CTG/da							

COVER PAGE

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to: 1 - USA, SDNY (ATT: AUSA DANIEL RIESEL)

Report of: O. EUGENE SMITH
Date: 9/30/71

Office: NEW YORK, NEW YORK

Field Office File #: 46-6700

Bureau File #: 46-51211

Title:
ET ALb6
b7C

Character: MISCELLANEOUS - CIVIL SUIT

Synopsis: Civil trial in this matter expected to commence in
November, 1971.

- P -

DETAILS:

On September 30, 1971 Assistant United States Attorney DANIEL RIESEL, Southern District of New York, advised SA O. EUGENE SMITH that he expects Civil Trial to commence in this matter in November, 1971.

- 1* -

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE 11/29/71	INVESTIGATIVE PERIOD 10/28 - 11/17/71
TITLE OF CASE ET AL		REPORT MADE BY O. EUGENE SMITH	TYPED BY oes
		CHARACTER OF CASE MISCELLANEOUS - CIVIL SUIT	b6 b7C

REFERENCE Report of SA O. EUGENE SMITH dated 9/30/71 at NY.

- P -

LEADNEW YORKAT NEW YORK, NEW YORK

Will follow civil action in this matter with AUSA
CHRISTOPHER ROOSEVELT, SDNY.

ACCOMPLISHMENTS CLAIMED					<input checked="" type="checkbox"/> NONE	ACQUIT- TALS	CASE HAS BEEN:
CONVIC.	AUTO.	FUG.	FINES	SAVINGS	RECOVERIES		
							PENDING OVER ONE YEAR <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO PENDING PROSECUTION OVER SIX MONTHS <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO

APPROVED <i>gk/mc</i>	SPECIAL AGENT IN CHARGE	DO NOT WRITE IN SPACES BELOW	
COPIES MADE:		46-51311-79 REC-15 EX-112 DEC 2 1971	
3 - BUREAU (46-51211) 1 - USA, SDNY (ATT: AUSA ROOSEVELT) 2 - NEW YORK (46-6700)			

Dissemination Record of Attached Report				Notations STAT SECT
Agency	<i>1RAO (Encl)</i>			
Request Recd.				
Date Fwd.	<i>DEC 2 1971</i>			
How Fwd.	<i>060</i>			
By	<i>CWB</i>			

A*

* GPO : 1968 O - 299-885

COVER PAGE

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to: 1 - USA, SDNY (ATT: AUSA CHRISTOPHER ROOSEVELT)

Report of: O. EUGENE SMITH
Date: 11/29/71

Office: NEW YORK, NEW YORK

Field Office File #: 46-6700
Bureau File #: 46-51211

Title:
ET AL

b6
b7c

Character: MISCELLANEOUS - CIVIL SUIT

Synopsis: Actual trial has not been set for a specific date.

- P -

DETAILS:

On November 17, 1971 Assistant United States Attorney (AUSA) CHRISTOPHER ROOSEVELT, Southern District of New York (SDNY) advised that actual trial in this matter has not been set for a specific date.

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE 1/26/72	INVESTIGATIVE PERIOD 12/29/71 - 1/24/72
TITLE OF CASE ET AL		REPORT MADE BY O. EUGENE SMITH	TYPED BY oeb6 b7C
		CHARACTER OF CASE MISCELLANEOUS - CIVIL SUIT	

REFERENCE: NY report of SA O. EUGENE SMITH dated 11/29/71

- P -

LEADNEW YORKAT NEW YORK, NEW YORK

Will follow civil action in this matter with
AUSA CHRISTOPHER ROOSEVELT, SDNY.

ACCOMPLISHMENTS CLAIMED						<input checked="" type="checkbox"/> NONE	ACQUIT- TALS	CASE HAS BEEN:
CONVIC.	AUTO.	FUG.	FINES	SAVINGS	RECOVERIES			
								PENDING OVER ONE YEAR <input type="checkbox"/> YES <input type="checkbox"/> NO PENDING PROSECUTION OVER SIX MONTHS <input type="checkbox"/> YES <input type="checkbox"/> NO

APPROVED <i>[Signature]</i>	SPECIAL AGENT IN CHARGE	DO NOT WRITE IN SPACES BELOW	
COPIES MADE: ③ - BUREAU (46-51211) 1 - USA, SDNY (ATT: AUSA ROOSEVELT) 2 - NEW YORK (46-6700)		46-51211-80	REC-22 EX-104
		JAN 31 1972	

Dissemination Record of Attached Report				Notations <i>[Stamp: SIX STATEMENTS]</i>
Agency	1 ROM-Civil			
Request Recd.				
Date Fwd.	FEB 3 1972			
How Fwd.	0-6 D			
By	CWD/der			

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to: 1 - USA, SDNY (ATT: AUSA ROOSEVELT)

Report of: O. EUGENE SMITH
Date: 1/26/72

Office: NEW YORK, NEW YORK

Field Office File #: 46-6700

Bureau File #: 46-51211

Title:

ET AL

b6
b7C

Character: MISCELLANEOUS - CIVIL SUIT

Synopsis: AUSA expects early trial date to be set in
this matter.

- P -

DETAILS:

On January 24, 1972, Assistant United States Attorney (AUSA) CHRISTOPHER ROOSEVELT, Southern District of New York, advised SA O. EUGENE SMITH that he expects an early trial date to be set in this matter.

- 1* -

UNITED STATES GOVERNMENT

INSTRUCTIONS - Reverse side

Memorandum

TO : Director, FBI (46-51211)
Att: Special Investigative Division
FROM : SAC, NEW YORK (46-6700)
SUBJECT: FRANCIS PETER CROSBY -
FUGITIVE ; ET AL
FLIA-SMALL BUSINESS INVESTMENT
COMPANIES

DATE: February 4, 1972

- ☒ Initial Submission
☐ Supplements FD-65 dated _____
☐ Photograph not needed

Indicate following:

- ☐ Extremist (Black)
☐ Extremist (White)
☐ New Left
☐ Other Security background
☒ None of these

Caution <input type="checkbox"/>	MKE	Name	FRANCIS PETER CROSBY		NAM	Sex SEX	Race RAC
				M			W
Birthplace	Great Neck, New York		NAT	Birth Date	DOB	Height HGT	Weight WGT
				10/4	23	6'4"	215
FBI No.	FBI	Eyes	Visible Scars, Marks, Tattoos, etc.		Hair HAI		
346300D		Blue	Fugitive Calls Program		GY		
NCIC Fingerprint Classification	FPC	Other Identifying Number		MNU	Social Security #		VSM
		3-10		(by)			SOC
Operator's License Number	OLN	Operator's License State		OLS	Year Expire		JOLY
Offense Charged OFF Failure to surrender for service of sentence							
U. S. Code, Title and Section Title 18, USC, Sections 657, 2 and 371							
Warrant Issued By Clerk, USDC, SDNY 12/27/71 DOW F. O. File # OCA							
Date PBV or Bond Default Case Referred to Office 46-6700							
Miscellaneous Including Bond Recommended				MIS	Fingerprint Classification (Henry System)		
\$25,000 Bond recommended by AUSA DANIEL SULLIVAN, SDNY							
LICENSE PLATE AND VEHICLE INFORMATION							
License Plate Number	LIC	State	LIS	Year Expires	LIY	License Plate Type	LIT
Vehicle Identification #		VIN	Year	VYR	Make	VMA	Style
						VMO	VST
							Color VCO
Aliases				Additional Identifiers			
PETER FRANCIS CROSBY				46-51211-81			
				15 FEB 9 1972			
NCIC # W05500693				NIC			

BUREAU

55 FEB 9 1972

423

FUG. SUP.

INSTRUCTIONS

1. **Caution (MKE)** - Insert "C" in block if caution statement indicated. Basis for caution statement must appear in Miscellaneous block, e.g. armed and dangerous.
2. **Name (NAM)** - Place name in this block. Aliases are not to be entered in this block but are to be placed in Aliases block.
3. **Sex (SEX)** - Sex will be designated by one letter, M (male) or F (female).
4. **Race (RAC)** - Race will be described by one letter, W (white), N (Negro), I (Indian), C (Chinese), J (Japanese), O (all other). Mexicans who are not definitely Indian or other non-white should be described as "W".
5. **Birthplace (NAT)** - Indicate city and state or, if foreign born, city and country. Where multiple birthplaces are reported, list verified birthplace or that which appears most logical in this block.
6. **Birth Date (DOB)** - Enter as month, day and year. Where multiple birth dates are reported, enter verified birth date or that which appears most logical in this block. Place other dates of birth in Additional Identifiers block.
7. **Height (HGT)** - Express in feet and inches, e.g., 6' 0". Round off fractions to nearest inch.
8. **Weight (WGT)** - Express in pounds. Omit fractions.
9. **Hair (HAI)** - Color hair to be described as BK (black), BR (brown), BN (blond or strawberry blond), RD (red or auburn), WH (white), GY (gray or partially gray), SN (sandy), XX (unknown), OO (bald). (If hair present and balding, code hair color and enter "balding" in Miscellaneous block).
10. **Eyes** - Indicate color of eyes.
11. **Visible Scars, Marks, Tattoos, etc. (VSM)** - Place in this block only appropriate NCIC coding for visible scars, marks, tattoos, birthmarks, deformities, missing body parts and artificial body parts as defined in NCIC Operating Manual. If more than one VSM is to be entered, use Additional Identifiers block for additional appropriately coded items. Use Miscellaneous block to describe all scars, marks, tattoos, etc. which are not defined in the NCIC Operating Manual and to more fully describe VSM's which have been entered in VSM block. For example, an appendectomy scar, not being readily visible, would be described in the Miscellaneous block. A tattoo on right arm, shown as TAT R ARM in VSM block, might be further described in Miscellaneous block as a rose tattoo on inside of lower right arm.
12. **NCIC Fingerprint Classification (FPC)** - Enter NCIC fingerprint classification.
13. **Other Identifying Number (MNU)** - Miscellaneous numbers may be entered with appropriate identifiers (prefixes) as shown below. For first miscellaneous identifying number, use MNU block. When military service number is in fact Social Security Account Number, the number should be entered in both MNU and SOC blocks. Additional identifying numbers are placed in Additional Identifiers block. The identifier (prefix) should precede the number and be separated from the number by use of a hyphen.
 - AF - Air Force Serial Number
 - AR - Alien Registration Number
 - AS - Army Serial Number, National Guard Serial Number or Air National Guard Serial Number (regardless of State)
 - CG - U. S. Coast Guard Serial Number
 - MD - Mariner's Document or Identification Number
 - MC - Marine Corps Serial Number
 - MP - Royal Canadian Mounted Police Identification Number
 - NS - Navy Serial Number
 - PP - Passport Number
 - PS - Port Security Card Number
 - SS - Selective Service Number
 - VA - Veterans Administration Claim Number
14. **Fingerprint classification (Henry System)** - The Henry System fingerprint classification is to be placed in this block, when available. Do not enter in NCIC.
15. **Social Security Number (SOC)** - Place subject's Social Security Account Number in this block.
16. **Operator's License Number** - Place subject's operator's license number in OLN block. Also show licensing state (OLS) and year license expires (OLY).
17. **Warrant Issued By-On-(DOW)** - In Escaped Federal Prisoner cases enter date of escape in DOW block.
18. **Miscellaneous (MIS)** - Enter additional pertinent information in this block. If caution statement used, basis for statement must be set forth as first item in this block.
19. **License Plate and Vehicle Information** - Place information concerning license plate and/or vehicle known to be in the possession of subject in appropriate blocks under License Plate and Vehicle Information heading.
20. **Additional Identifiers** - Enter information concerning additional license plates (number, state, year expires, and where applicable, type); Social Security Numbers; operator's license number, state and year expires; vehicle information (VIN, VYR, VMA, VMO, VST, VCO); MNU's (see list in item 13 above); visible scars, marks, tattoos, etc.; and dates of birth. Clearly identify what data is being set forth; e.g. Social Security # 423-56-3294; Michigan operator's license 234567, expires 1972; DOB's 4/5/32, 5/3/32; etc.
21. Changes and deletions should be so indicated in the appropriate blocks.

CR SAC, New York (46-6700)

2/10/72

Director, FBI (46-51211)

0
FRANCIS PETER CROSBY
FUGITIVE; ET AL.
FLIA - SMALL BUSINESS INVESTMENT
COMPANIES.
OO: New York

Re your FD-65 dated 2/4/72.⁴⁸¹

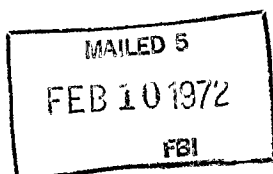
It is noted that a warrant was issued by U. S. District Court, Southern District of New York on 12/27/71; however, your FD-65 is dated 2/4/72. In this regard you are referred to FBI Handbook, Part II, page 18, which states in part that fugitive form letters are to be submitted immediately upon obtaining Federal process and the subject's whereabouts is unknown. 99

Advise reason for delay in submission of FD-65.

REC-60 46-51211-82

Mr. Tolson _____
Mr. Felt _____
Mr. Rosen _____
Mr. Mohr _____
Mr. Bishop _____
Mr. Miller, E.S. _____
Mr. Callahan _____
Mr. Casper _____
Mr. Conrad _____
Mr. Dalbey _____
Mr. Cleveland _____
Mr. Ponder _____
Mr. Bates _____
Mr. Waikart _____
Mr. Walters _____
Mr. Soyars _____
Tele. Room _____
Miss Holmes _____
Miss Gandy _____

JJH:jmt
(4)



FEB 11 1972

57 FEB 7 1972

MAIL ROOM ☒ TELETYPE UNIT ☐

F B I

Date: 2/9/72

Transmit the following in _____
(Type in plaintext or code)Via AIRTEL _____
(Priority)

TO: DIRECTOR, FBI (46-51211)

FROM: SAC, NEW YORK (46-6700)

SUBJECT:
FRANCIS PETER CROSBY - FUGITIVE;
ET AL;
MISCELLANEOUS - CIVIL SUIT;
FLIA - SMALL BUSINESS
INVESTMENT COMPANIES
(OO:NY)b6
b7cRe New York Fugitive Form letter to the Bureau,
dated 2/4/72.Enclosed for Chicago and Los Angeles are three
copies each of a photograph of FRANCIS PETER CROSBY and
one copy of Arrest Warrant for CROSBY.On 3/26/71, FRANCIS PETER CROSBY was sentenced
in the Southern District of New York to temporary commit-
ment not to exceed three months, unless extended, for
study to advise the court pending final sentencing. Imposi-
tion of sentence was delayed. CROSBY had been convicted
for violation of Title 18, USC, Section 657, 371 and 2.

- ② - Bureau
- 2 - Chicago (Encls. 4)
- 2 - Los Angeles (Encls. 4)
- 1 - New York

OES:kxs
(8)

REC-36

46-51211-83

FEB 11 1972

F588
Approved: [Signature]
Special Agent in Charge

Sent _____ M Per _____

NY 46-6700

On 2/4/72, AUSA DANIEL SULLIVAN, SDNY, advised SA O. EUGENE SMITH as follows:

On 12/1/71, an order was issued by United States District Judge HAROLD R. TYLER, SDNY, ordering FRANCIS PETER CROSBY to surrender for service of sentence.

He has been in contact with CROSBY'S attorney, [redacted] and to date [redacted] has been unable to get in contact with CROSBY.

b6
b7C

A warrant for the arrest of FRANCIS PETER CROSBY has been issued for failure to surrender for service of sentence by Clerk, United States District Court, SDNY. AUSA SULLIVAN recommended bond of \$25,000 returnable at SDNY.

Attempts to contact Attorney [redacted] [redacted] who has previously been helpful to the New York Office in contacting CROSBY, were made on 2/4/72 and 2/7/72, with unsuccessful results. On 2/8/72, [redacted] advised SA O. EUGENE SMITH that he has been unable to contact CROSBY in the last few months and has no information concerning his current whereabouts. He stated he would immediately notify the New York Office if he receives any information concerning the whereabouts of CROSBY.

b6
b7C

FRANCIS PETER CROSBY is a well known stock fraud manipulator and con man. He travels extensively throughout the United States. When in the Los Angeles area he usually contacts [redacted]
[redacted]

b6
b7C

Set forth is a description of CROSBY:

Name	FRANCIS PETER CROSBY
Also Known As	Peter Francis Crosby

NY 46-6700

Sex	Male
Race	White
Residence	46 Little Cahill Road Trout Valley Cary, Illinois
Date of Birth	10/4/23
Place of Birth	Great Neck, Long Island, New York
Height	6 Feet 4 Inches
Weight	215 Pounds
Build	Medium
Hair	Gray
Eyes	Blue
Complexion	Ruddy
Wife	
FBI Number	346300D
NCIC Number	W05500693

b6
b7C

LEADS

CHICAGO

AT CARY, ILLINOIS. Will attempt to locate and apprehend FRANCIS PETER CROSBY at 46 Little Cahill Road, Cary, Illinois, or obtain information concerning his current whereabouts.

LOS ANGELES

AT LOS ANGELES, CALIFORNIA. Will contact [redacted] in an effort to obtain information concerning current whereabouts of FRANCIS PETER CROSBY, and attempt to locate and apprehend CROSBY.

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b7C

NY 46-6700

LEADS (Cont'd)

NEW YORK

AT NEW YORK. NEW YORK. Will maintain contact with Attorney [REDACTED] and Attorney [REDACTED] in an attempt to obtain information concerning the current whereabouts of FRANCIS PETER CROSBY.

b6
b7C

UNITED STATES GOVERNMENT

Memorandum

TO : DIRECTOR, FBI (46-51211)

DATE: 2/16/72

FROM : SAC, NEW YORK (46-6700)

SUBJECT: FRANCIS PETER CROSBY -
FUGITIVE; ET AL
FLIA-SMALL BUSINESS INVESTMENT
COMPANIES
(OO:NY)

ReBulet to NY, 2/10/72.

On 2/4/72, AUSA DANIEL SULLIVAN, SDNY, advised SA O. EUGENE SMITH of the existence of the warrant issued for the arrest of FRANCIS PETER CROSBY on 12/27/71. On this same date SA O. EUGENE SMITH had this information placed in NCIC and submitted on FD-65.

AUSA SULLIVAN advised on 2/4/72, that he had expected CROSBY to surrender to the court through his attorney, [redacted]. He said that in view of the fact that [redacted] was unable to get in contact with CROSBY he was notifying the FBI of this fact and was requesting the FBI to locate and apprehend CROSBY.

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b7C

EX-112

REC-14

46-51211 84

5 FEB 22 1972

2-Bureau
1-New York

OES:cf
(3)



53 FEB 24 1972

SAC, New York (46-6700)

3-2-72

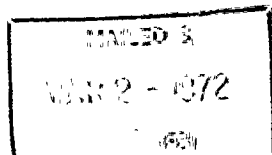
Director, FBI (46-51211)

FRANCIS PETER CROSBY, aka
FUGITIVE
FLIA - SMALL BUSINESS INVESTMENT COMPANIES
OO: New York

Re Bureau telephone call 3-1-72.

Fingerprints from Police Department, New York, New York, disclose subject as Frank Crosby, FBI # 346 300 D, fingerprinted 2-26-72, number 432760, for grand larceny, unlawful use and possession stolen property..Address given as 1100 First Avenue, Spring Lake, New Jersey. No disposition given.

Handle and advise Bureau if subject located.



EX-107

NOTE: Information received from [redacted] ID, by [redacted] on 3-1-72, and furnished to SA [redacted] NY, 3-1-72. Positive ident with FBI # 346 300 D.

KMR:vmh
(4)

19 MAR 3 1972

MAIL ROOM ☒ TELETYPE UNIT ☐

Mr. Tolson _____
Mr. Felt _____
Mr. Rosen _____
Mr. Mohr _____
Mr. Bishop _____
Mr. Miller, E.S. _____
Mr. Callahan _____
Mr. Casper _____
Mr. Conrad _____
Mr. Dalbey _____
Mr. Cleveland _____
Mr. Ponder _____
Mr. Bates _____
Mr. Waikart _____
Mr. Walters _____
Mr. Soyars _____
Tele. Room _____
Miss Holmes _____
Miss Gandy _____

b6
b7C

REC-35 46 51 - 85

F B I

Date: 3/7/72

Transmit the following in _____
(Type in plaintext or code)

Via AIRTEL

(Priority)

TO: DIRECTOR, FBI (46-51211)

FROM: SAC, NEW YORK (46-6700)

SUBJECT: *NR*
 FRANCIS PETER CROSBY - *✓*
 FUGITIVE;
 ET AL
 MISCELLANEOUS - CIVIL SUIT;
 FLIA - SMALL BUSINESS INVESTMENT COMPANIES
 (OO: NY)

Am b

b6
b7cReBulet to NY, 3/2/72. *9*

Enclosed for Newark and Philadelphia are two copies of NY airtel to Bureau, dated 2/9/72, two photographs of FRANCIS PETER CROSBY, and one copy of arrest warrant for CROSBY.

On 3/7/72, Patrolman 14th Precinct, NYCPD, advised SA O. EUGENE SMITH that he arrested CROSBY on 2/26/72. CROSBY used the name FRANK CROSBY at this time. At the time CROSBY was driving a Hertz rental car that was overdue. He charged CROSBY with Possession of Stolen Auto - Overdue Hertz car. At the station house CROSBY called a Hertz Rent-A-Car Corporation, Philadelphia, Pa., and got the matter straightened out. CROSBY was then released. CROSBY gave his address as 1100 First Avenue, Spring Lake, NJ.

REC-4 46-51211-86

b6
b7cLEADSNEWARK

MAR 9 1972

AT SPRING LAKE, NEW JERSEY. Will make inquiry at 1100 First Avenue, Spring Lake, NJ, in an effort to locate and apprehend FRANCIS PETER CROSBY.

2 - Bureau
 2 - Newark (46-6654) (Encls. 5)

2 - Philadelphia (Encls. 5)

1 - New York OES:mmz

Approved: (8)

Special Agent in Charge

Sent _____ M Per _____

60 MAR 16 1972

NY 46-6700

PHILADELPHIA

AT PHILADELPHIA, PENNSYLVANIA. Will attempt to locate
 Hertz Rent-A-Car Corporation, in an effort to obtain
information concerning the present whereabouts of FRANCIS PETER
CROSBY.

b6
b7c

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE 7/12/72	INVESTIGATIVE PERIOD 2/4/72 - 7/7/72
TITLE OF CASE O <u> </u> NR ✓ FRANCIS PETER CROSBY - FUGITIVE ET AL		REPORT MADE BY O. EUGENE SMITH	TYPED BY oesb6 b7C
008/12 07-71		CHARACTER OF CASE MISCELLANEOUS - CIVIL SUIT; FEDERAL LENDING AND INSURANCE AGENCIES - SMALL BUSINESS INVESTMENT COMPANIES 7-20	

REFERENCES:

NY Fugitive form letter dated 2/4/72 -81
 NY Airtel dated 2/9/72 83
 CG teletype to NY dated 2/18/72 (IO)
 NY Airtel to Louisville dated 2/23/72 (IO)
 CG teletype to NY dated 2/25/72 (IO)
 BU letter to NY dated 3/2/72 85
 NY Airtel dated 3/7/72 86
 Louisville letter to NY dated 3/17/72 (IO)
 NY Airtel to Denver dated 3/17/72 (IO)
 LA letter to NY dated 3/29/72 (IO)
 Denver Airtel to NY dated 4/3/72 (IO)
 Denver Airtel to NY dated 4/5/72 (IO)
 Newark letter to NY dated 4/7/72 (IO)
 Philadelphia letter to NY dated 4/12/72 (IO)
 Las Vegas Airtel to NY dated 4/24/72 (IO)

ACCOMPLISHMENTS CLAIMED						<input checked="" type="checkbox"/> NONE	ACQUIT- TALS	CASE HAS BEEN: PENDING OVER ONE YEAR <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO PENDING PROSECUTION OVER SIX MONTHS <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
CONVIC.	AUTO.	FUG.	FINES	SAVINGS	RECOVERIES			
APPROVED <i>[Signature]</i>						SPECIAL AGENT IN CHARGE		
COPIES MADE: ③ - BUREAU (46-51211) 1 - USA, SDNY (ATT: AUSA SULLIVAN) 2 - CHICAGO (46-5806) 2 - NEWARK (46-6654) 2 - NEW YORK (46-6700)						DO NOT WRITE IN SPACES BELOW 46-51211-87 15 JUL 17 1972 REC-5		
Dissemination Record of Attached Report						Notations		
Agency						FUG. SUP. STAT. SECT. <i>[Signature]</i>		
Request Recd.								
Date Fwd.								
How Fwd.								
By								

54 JUL 26 1972

COVER PAGE A

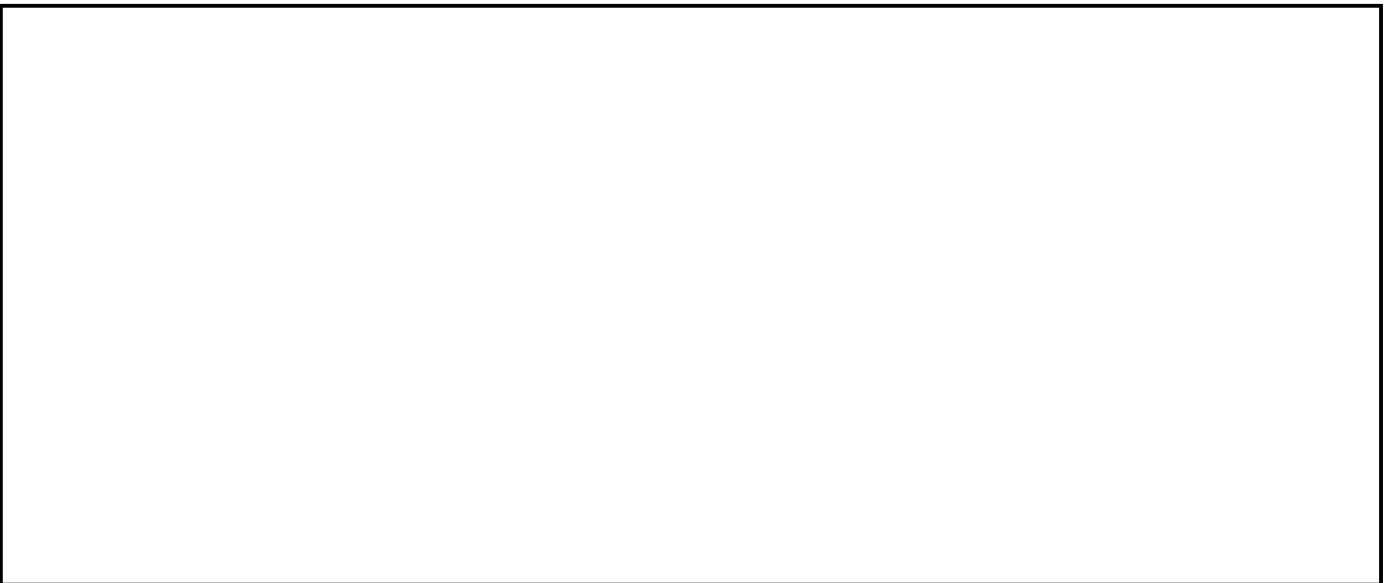
NY 46-6700

REFERENCES: (contd)

Newark letter to NY dated 4/25/72 (IO)
Chicago teletype to New York dated 4/24/72 (IO)
Louisville letter to NY dated 4/28/72 (IO)
NY teletype to Chicago & Miami dated 5/5/72 (IO)
Los Angeles letter to NY dated 5/18/72
Chicago Airtel to NY dated 5/31/72
Miami Airtel to New York dated 6/28/72 ¹⁰

INFORMANTS:

- P -



b7D

By communication dated March 10, 1972, the Louisville Office advised as follows:



b7D

By communication dated April 28, 1972, the Louisville Office advised as follows:

Photograph of Francis Peter Crosby was displayed to informants in the Lexington, Kentucky, area with negative results.

- B -

NY 46-6700

LEADS

CHICAGO

AT CARY, ILLINOIS

Will maintain contact with [redacted]
[redacted] in an effort to obtain information concerning the current whereabouts of Francis Peter Crosby, her husband.

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NEWARK

AT SPRING LAKE, NEW JERSEY

Will maintain contact with Crosby's mother, Mrs. John F. Crosby, 1100 First Avenue, in an effort to obtain information concerning the current whereabouts of Francis Peter Crosby.

NEW YORK

AT NEW YORK, NEW YORK

1. Will maintain contact with Attorney [redacted]
[redacted] and [redacted] in an effort to obtain information concerning Francis Peter Crosby.

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b7D

2. Will conduct other investigation deemed appropriate in an effort to locate and apprehend Francis Peter Crosby.

NY 46-6700

Date of Birth	10/4/23
Place of Birth	Great Neck
	Long, Island, New York
Height	6 Feet 4 Inches
Weight	215 Pounds
Build	Medium
Hair	Gray
Eyes	Blue
Complexion	Buddy
Wife	

b6
b7c

FBI Number	346300D
NCIC Number	W05500693

On February 4, 1972, Assistant United States Attorney DANIEL SULLIVAN, Southern District of New York, advised Special Agent O. EUGENE SMITH as follows:

On December 1, 1971, an order was issued by United States District Judge HAROLD R. TYLER, Southern District of New York, ordering FRANCIS PETER CROSBY to surrender for service of sentence.

He has been in contact with CROSBY's attorney, [redacted] and to date [redacted] has been unable to get in contact with CROSBY.

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A warrant for the arrest of FRANCIS PETER CROSBY has been issued for failure to surrender for service of sentence by Clerk, United States District Court, Southern District of New York. Assistant United States Attorney SULLIVAN recommended bond of \$25,000.00 returnable at Southern District of New York.

Attempts to contact Attorney [redacted] who has previously been helpful to the New York Office in contacting CROSBY, were made on February 4, 1972, and February 7, 1972, with unsuccessful results. On February 8, 1972, [redacted] advised Special Agent O. EUGENE SMITH that he has been unable to contact CROSBY in the last few months and has no information concerning his current whereabouts. He stated he would immediately notify the New York Office if he receives any information concerning the whereabouts of CROSBY.

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b7c

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to: 1 - USA, SDNY (ATT: AUSA DANIEL SULLIVAN)

Report of: O. EUGENE SMITH
Date: 7/12/72

Office: NEW YORK, NEW YORK

Field Office File #: 46-6700

Bureau File #: 46-51211

Title:

[REDACTED]
FRANCIS PETER CROSBY - FUGITIVE;
ET ALb6
b7cCharacter: MISCELLANEOUS - CIVIL SUIT;
FEDERAL LENDING AND INSURANCE AGENCIES -
SMALL BUSINESS INVESTMENT COMPANIES

Synopsis:

On 12/1/72 an order was issued by USDJ, SDNY, ordering FRANCIS PETER CROSBY to surrender for service of sentence. A warrant was issued for the arrest of Crosby for failure to surrender for service of sentence by Clerk, USDC, SDNY after CROSBY failed to appear. AUSA recommended bond of \$25,000 returnable at SDNY. Investigation conducted by numerous offices failed to reveal whereabouts of CROSBY. CROSBY's wife advised he contacts her approximately twice a week and she believes he is in greater New York area.

- P -

DETAILS

On March 26, 1971, FRANCIS PETER CROSBY was sentenced in the Southern District of New York to temporary commitment not to exceed three months, unless extended, for a study to advise the court pending final sentencing. Imposition of the sentence was delayed. CROSBY had been convicted for violation of Title 18, USC, Section 657, 371 and 2.

Set forth is a description of CROSBY:

Name	FRANCIS PETER CROSBY
Also Known As	PETER FRANCIS CROSBY
Sex	Male
Race	White
Residence	46 Little Cahill Road Trout Valley Cary, Illinois

NY 46-6700

By communication dated February 18, 1972, the Chicago Office advised as follows:

[redacted] wife of FRANCIS PETER CROSBY, [redacted] [redacted] stated she received a \$60.00 Western Union Money order from FRANCIS PETER CROSBY on February 17, 1972. She denied knowing where the money order was sent from and denied knowing CROSBY's whereabouts or where he could be located. She advised CROSBY left Cary, Illinois, on January 1, 1972, and he has not returned since but that he is in telephonic contact with her.

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On March 7, 1972, Patrolman [redacted] 14th Precinct, New York City Police Department, advised Special Agent O. EUGENE SMITH that he arrested CROSBY on February 26, 1972. CROSBY used the name FRANK CROSBY at this time. At the time CROSBY was driving a Hertz rental car that was overdue. He charged CROSBY with Possession of Stolen Auto - Overdue Hertz car. At the station house CROSBY called a [redacted] Hertz Rent A-Car Corporation, Philadelphia, Pennsylvania, and got the matter straightened out. CROSBY was then released. CROSBY gave his address as 1100 First Avenue, Spring Lake, New Jersey.

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By communication dated March 10, 1972, the Louisville office advised that all major hotels and motels in the Lexington, Kentucky, area were contacted on March 1, 1972, in an attempt to locate FRANCIS PETER CROSBY with unsuccessful results. Criminal checks at Lexington, Kentucky, were negative regarding CROSBY.

On March 17, 1972, Assistant United States Attorney DAVID TENNETT Southern District of New York, advised that [redacted] [redacted] advised him as follows:

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b7D

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By communication dated March 29, 1972, the Los Angeles Office advised that on March 8, 1972, [redacted] Beverly Hillcrest Hotel, stated that FRANCIS PETER CROSBY has not been a guest at that hotel in over a year.

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DN 86-70

BRS:ls

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The following investigation was conducted by
SA [] and SA []

AT DENVER, COLORADO

On March 31, 1972 a physical inspection of 1300 block of Federal Boulevard determined that no restaurants were located at that intersection or in the immediate vicinity. It is noted that 1300 Federal Boulevard indicates Federal Boulevard North. At 1300 South Federal Boulevard is located a shopping center consisting of small shops and at least two large grocery stores. At 1423 South Federal Boulevard is located a Mr. Steak Restaurant. Photographs of FRANCIS PETER CROSBY were exhibited to [] of the Mr. Steak Restaurant, 1423 South Federal Boulevard, at which time [] advised that the man in the photograph was completely unfamiliar to him. [] further showed the photograph to [] who is constantly on the floor and to each of the waitresses in the restaurant with negative results.

AT AURORA, COLORADO

On March 31, 1972 []
[] furnished the following information. He advised that he had met a man who identified himself as FRANCIS PETER CROSBY on one occasion, that being February 10, 1972. He advised that he, []

[] and on February 9, 1972 CROSBY had called him from the airport around 11 p.m. and wanted [] to pick him up. [] had told him no that he could catch a cab. [] explained that at this time he had no idea who CROSBY was. Early the next morning CROSBY had again contacted [] and made arrangements for [] to meet CROSBY at the Howard Johnson Motor Lodge located on Federal Boulevard and Interstate-70.

[] advised that CROSBY had indicated that he was connected with Crosby Energy Systems Ltd., Chicago, Illinois, and World Wide Coal Inc., New York City, and that [] might be interested as he had developed a process

where precious metals could be extracted from coal. [redacted] stated that on the morning he met CROSBY, he took CROSBY to visit an attorney on South Federal by the name of [redacted] and left him there. Later that same day he picked up CROSBY at the Mr. Steak Restaurant located near [redacted] office and drove him to the airport. It is [redacted] belief that CROSBY went back to Chicago, Illinois.

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Sometime later, exact date unrecalled, a [redacted] [redacted] contacted [redacted] as a result of a contact made with [redacted] by [redacted] and a [redacted] First Drilling Company, Odessa, Texas. [redacted] and CROSBY had apparently discussed a "lot of bars" wherein [redacted] name had apparently come up. [redacted] stated that he had contacted [redacted] in Odessa, Texas, and advised him that he would not have anything to do with CROSBY.

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[redacted] further advised that somewhere in his office he has a proposal type letter from CROSBY with a return address in Chicago, Illinois, and would make every effort to locate same and furnish it to the FBI.

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[redacted] described CROSBY as a white male, 45-50 years old, 6'1 or 2" tall, at least 200 pounds, light complexion, bushy hair, bushy eyebrows, dressed like a country preacher in a black box double breasted suit. [redacted] was exhibited New York City Police Mug Shop Number 482760 dated April 11, 1961 of FRANCIS PETER CROSBY at which time he advised that that was definitely the man he had talked with on February 10, 1972. His features are the same only his hair is a little grayer and his eyebrows appeared to be more bushy.

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NY 46-6700

On April 3, 1972, a review of the New York City Area telephone directories and a credit check by Special Agent O. EUGENE SMITH failed to reveal any information on a World Wide Coal Company.

By communication dated April 7, 1972, the Newark Office advised as follows:

A check of the Newark City Street Directory failed to reveal a street by the name of Whistling Place.

A check of the current telephone directory for the City of Newark disclosed no listing for FRANCIS PETER CROSBY.

On March 13, 1972, efforts were made to locate FRANCIS PETER CROSBY at 1100 First Avenue, Spring Lake, New Jersey, with negative results.

On March 30, 1972, Mrs. JOHN F. CROSBY, FRANCIS PETER CROSBY's mother, was contacted at 1100 First Avenue, Spring Lake, New Jersey, and she advised that her son came by to see her approximately two weeks ago. She stated her son only stayed for a couple of hours and during his brief stay did not disclose where he was living. She stated that approximately one week ago her son called her and at this time told her that he was living in a motel and that he moved from one motel to another frequently. At this time he told her that he was attempting to complete a business deal and that after the deal was completed he was going to turn himself in.

Mrs. CROSBY further advised that her son calls her frequently from various locations, but will not tell her where he is living. Each time she talks to him she tries to tell him he should turn himself in. She stated that she does not know where her son is currently living and would not tell the Federal Bureau of Investigation if she knew. However, she would attempt to encourage her son to turn himself in the next time he calls her.

By communication dated April 12, 1972, the Philadelphia Office advised as follows:

On April 7, 1972, [REDACTED] Hertz Rent-A-Car Corporation, 18 North 18th Street, Philadelphia, Pennsylvania,

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NY 46-6700

advised that a 1971 white Ford LTD, Pennsylvania license 678 036 was rented by J. R. CROSBY using a Chevron Credit Card [redacted] in the name of [redacted]. A New Jersey driver's license #C75682677710234 expiring November 30, 1972, with a home address of 320 South Harrison, East Orange, New Jersey, was used for identification. A phone number of 201 - 674-6090 was used. [redacted] indicated that this phone has been disconnected. [redacted] indicated that this automobile was picked up from the 9th Avenue Pound, New York City, by Hertz Agents on March 8, 1972, and returned to Philadelphia shortly thereafter.

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[redacted] had contacted [redacted] at [redacted] and she indicated that CROSBY had been a business partner of her husband's and that he had left owing her husband several hundred dollars.

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Also she believed his home address to be 46 Little Cabit Road, Trout Valley, Carey, Illinois, area code 60013, telephone #312-639-2811. She also mentioned the name VINCENT CAMP.

[redacted] indicated that before recovering this automobile, Hertz Agents at La Guardia International Airport, New York City, had seen the car parked in the airport parking lot several times.

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By communication dated April 24, 1972, the Las Vegas Office advised as follows:

On April 24, 1972, [redacted] advised as follows:

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b6
b7C

b3
b6
b7C

NY 46-6700

[redacted] recalls seeing CROSBY in Hollywood, California, about 1967, adding, however, he did not know him nor does he have any information that would assist in locating him.

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April 6, 1972, Records, Clark County SO and Las Vegas PD Las Vegas, Nevada, contain no record concerning subjects [redacted] or CROSBY.

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The following investigation was conducted on April 25, 1972, by Special Agent [redacted] at Palisades, New York.

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Observation of Broad Street failed to reveal that there is an address of 17 Broad Street. The Postmaster advised that there is no such address as 17 Broad Street and the names [redacted] and CROSBY are not familiar to him. The telephone directory for the area failed to reveal a listing for a [redacted]. A neighborhood investigation conducted on Broad Street, which is one block long, failed to reveal any information on a [redacted] or CROSBY staying in this area.

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The following investigation was conducted by Special Agents [redacted] and [redacted] on April 24, 1972, at New Jersey:

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For information of New York Office, Chicago advised that subject CROSBY's wife received telephone call April 23, 1972, from subject CROSBY and she stated she felt phone call was from residence of [redacted]

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A check of the telephone directory for Bergen County, New Jersey, failed to disclose any listing for [redacted]

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[redacted] advised that he owns the buildings known as [redacted] most of which buildings are used for small retail stores or offices. [redacted] advised that no one by the name of [redacted] or any person similar to the known description of subject CROSBY resides at [redacted]

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NY 46-6700

By communication dated May 18, 1972, the Los Angeles Office advised as follows:

[REDACTED]

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[REDACTED] and should he receive any information concerning CROSBY'S whereabouts, he would immediately contact the Federal Bureau of Investigation.

By communication dated May 31, 1972, the Chicago Office advised as follows:

On May 10, 1972, [REDACTED] subject's wife, [REDACTED] [REDACTED] advised that subject still telephonically contacts her approximately two times each week but he refuses to furnish any information concerning his present whereabouts or any telephone number where he can be contacted. Each telephone call is only for a short time and he is mainly concerned for the welfare of his two children.

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[REDACTED] stated that about October, 1970, subject went to Switzerland where he stayed for two or three days but returned because the "deal" which he was working on was no good. She does not have any information that subject is out of the country and believes that he is still in the greater New York area.

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By communication dated June 28, 1972, the Miami Office advised as follows:

NY 46-6700

Four hundred Northwest 36th Street, Fort, Lauderdale, Florida, is a non-existent address. Inquiry in that area failed to develop any information concerning JACK COSBY. Telephone number 733-5431 has been changed. Inquiry at the new number developed that no one by the name of JACK COSBY resided at that number.



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Contact was maintained with Attorney [redacted] [redacted] who has been previously helpful to the New York Office in contacting CROSBY by Special Agent O. EUGENE SMITH during the period March 23, 1972 through June 28, 1972. [redacted] was unable to furnish any information concerning the current whereabouts of CROSBY.

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FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE 3/ 8/73	INVESTIGATIVE PERIOD 10/9/72 - 3/2/73
TITLE OF CASE FRANCIS PETER CROSBY-FUGITIVE; ET AL		REPORT MADE BY O. EUGENE SMITH	TYPED BY oes b6 b7C
		CHARACTER OF CASE MISCELLANEOUS - CIVIL SUIT; FEDERAL LENDING AND INSURANCE AGENCIES - SMALL BUSINESS INVESTMENT COMPANIES	

REFERENCE: NY report of SA O. EUGENE SMITH dated 9/25/72.
 Pittsburgh letter dated 10/27/72 (IO)
 Newark letter dated 10/30/72 (IO)
 Chicago letter dated 10/31/72 (IO)
 Chicago letter dated 12/12/72 (IO)
 New York teletype to Miami dated 1/3/73 (IO)
 Baltimore letter dated 1/18/73 (IO)
 Pittsburgh letter dated 1/23/73 (IO)
 Milwaukee letter dated 1/25/73 (IO)
 Chicago Airtel dated 2/22/73 (IO)
 Miami letter dated 2/28/73 (IO)

* P -

INFORMANTS

						b7D	
ACCOMPLISHMENTS CLAIMED					<input checked="" type="checkbox"/> NONE	ACQUIT- TALS	CASE HAS BEEN: PENDING OVER ONE YEAR <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO PENDING PROSECUTION OVER SIX MONTHS <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
CONVIC.	AUTO.	FUG.	FINES	SAVINGS	RECOVERIES		
APPROVED				SPECIAL AGENT IN CHARGE		DO NOT WRITE IN SPACES BELOW	
COPIES MADE: ③ - BUREAU (46-51211) 1 - USA, SDNY (ATT: AUSA SULLIVAN) 2 - NEW YORK (46-6700)							
Dissemination Record of Attached Report						Notations	
Agency							
Request Recd.							
Date Fwd.							
How Fwd.							
By							

NY 46-6700

b7D

INFORMANTS (contd)



NY 46-6700

LEADS

NEW YORK

AT NEW YORK, NEW YORK

1. Will interview [REDACTED] in effort to obtain information concerning whereabouts of CROSBY. b6
b7C
2. Will interview [REDACTED] Great Northern Hotel, 118 West 57th Street, New York City, in effort to obtain information concerning whereabouts of CROSBY. b6
b7C
3. [REDACTED] b7D
4. Will conduct other investigation deemed appropriate.

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to: 1 - USA, SDNY (ATT: AUSA DANIEL SULLIVAN)

Report of: O. EUGENE SMITH
Date: 3/8/73

Office: NEW YORK, NEW YORK

Field Office File #: 46-6700

Bureau File #: 46-51211

Title: [REDACTED]
FRANCIS PETER CROSBY - FUGITIVE;
ET AL

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Character: MISCELLANEOUS - CIVIL SUIT;
FEDERAL LENDING AND INSURANCE AGENCIES -
SMALL BUSINESS INVESTMENT COMPANIES

Synopsis:

Efforts to locate FRANCIS PETER CROSBY in New York unsuccessful. CROSBY continues to call his wife, [REDACTED]
[REDACTED]

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- P -

DETAILS

Contact was maintained with [REDACTED]
[REDACTED] and [REDACTED] Great Northern Hotel,
118 West 57th Street, New York City, by SA O. EUGENE SMITH during
the period October 9, 1972, through March 2, 1973. They were un-
able to furnish any additional information concerning the current
whereabouts of FRANCIS PETER CROSBY. [REDACTED] advised on March
2, 1973, that CROSBY has made no attempt to pick up his belongings
that he left at the hotel when he vacated his room in December, 1971.

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A surveillance was maintained in the area of 49 Dowing
Street, New York City, on January 17, 1973, by SAs O. EUGENE SMITH
and [REDACTED] This surveillance failed to reveal the pre-
sence of FRANCIS PETER CROSBY.

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A surveillance was maintained in the area of 230 Park
Avenue, New York City, on January 3, 1973, by SAs O. EUGENE SMITH
and [REDACTED] This surveillance failed to reveal the
presence of FRANCIS PETER CROSBY.

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b7C

NY 46 - 6700

The following investigation was conducted at Charleston, West Virginia, on October 27, 1972:

[redacted] Secretary, Detective Bureau, Charleston Police Department, [redacted] Supervisor, Criminal Identification Bureau, West Virginia State Police and [redacted] Office Manager, Credit Bureau, Inc., advised that they could locate no record identifiable with FRANCIS PETER CROSBY.

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The following investigation was conducted by the Newark Division:

[redacted]
[redacted] on October 3, 1972, advising that he has not seen or heard from [redacted] FRANCIS PETER CROSBY, for about six months. [redacted] stated that he does not know the whereabouts of CROSBY, however, he feels that he is probably somewhere in the mid-west where his wife's parents presently reside. He stated that he does not know the wife's parents or their present address.

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Attempts to contact Mrs. JOHN F. CROSBY, 1100 First Avenue, Spring Lake, New Jersey, were made on September 27, October 3, 11 and 26, 1972, with negative results.

On October 11, 1972, [redacted] advised that she had no knowledge as to whereabouts of subject. She said that she has not heard Mrs. CROSBY mention his whereabouts. She said in the event she heard anything about his whereabouts she would contact the FBI.

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On October 27, 1972, Mrs. JOHN F. CROSBY, 1100 First Avenue, Spring Lake, New Jersey, advised that she did not know the whereabouts of her son and had not heard from him in quite some time. She said that the last she heard he was in the Chicago, Illinois, area. She said that she would advise the FBI in the event she heard from him.

On October 26, 1972, Sgt. [redacted] Spring Lake, New Jersey Police Department, advised that he [redacted] Mrs. CROSBY on occasions and has never heard her mention her son's whereabouts. Sgt. [redacted] advised that he would be alert to any information as to subject's whereabouts.

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NY 46-6700

On February 21, 1973, [redacted] b6
Ross-Linco Lines, Inc., 50 Moonachie Avenue, Carlstadt, New Jersey, b7C
was contacted by SAs [redacted] and [redacted] at
which time photographs of subject FRANCIS PETER CROSBY were exhibited
to [redacted] advised that he did not recognize such indi-
vidual, and after displaying CROSBY's photographs to various other
employees at this firm, he advised that so far as he and the other
employees knew FRANCIS PETER CROSBY was not an employee of Boss-
Linco Lines, Inc. at Carlstadt, New Jersey.

[redacted] reviewed various personnel records and advised
that a review of such records disclosed that one [redacted] b6
[redacted] b7C

It is noted that [redacted] b6
[redacted] b7C
whereas subject CROSBY, the
fugitive, is described as approximately 50 years old and 6' 4" tall,
and does not appear to be identical to the fugitive.

The following investigation was conducted at Cary, Illinois:

[redacted] b6
was interviewed on October 30, 1972, at which time she stated b7C
subject continues to call her every three or four days. He talks
for only two or three minutes and does not reveal his whereabouts
to her. He does not talk any longer because he is afraid his tele-
phone call will be traced. She stated that subject does not send
her any more checks, because of attempts to trace them back to him,
but he does continue to send her money orders. [redacted] denied
having any information which would be of assistance in location
of subject.

On December 5, 1972, [redacted] b6
[redacted] b7C
was recontacted and stated that sub-
ject still calls her every week but only talks for very short time.
She denied knowing whereabouts of subject or where calls made from.

NY 46-6700

On January 4 and February 22, 1973, recontacts were made with [redacted] maintained that she is still contacted periodically by subject but still denies knowing whereabouts of subject or where calls are made from.

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The following investigation was conducted at Hagerstown, Maryland:

On January 11, 1973, Mr. WILLIAM RICHARD MOWEN, General Manager, Harper and Row Publishers, Downsville Pike. home address 2404 Long Ridge Drive, Hagerstown, advised SA [redacted] there is no one currently employed at that installation under subject's name or in any way answering subject's physical description. He stated there likewise has not been any such individual employed there within the past two years.

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Mr. MOWEN was furnished a physical description of the subject, and stated he would be alert in the event subject might be a salesman or some type of vendor contacting that company.

The Miami Division advised on February 28, 1973, that investigation conducted at Swiss American Discount Corporation, 3170 North Federal Highway, Lighthouse Point, Florida, and Adam Leasing Corporation, 8945 Northwest 7th Avenue, Miami, Florida, failed to reveal the whereabouts of FRANCIS PETER CROSBY.

MI 46-1139

HWC/bad

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At Madison, Wisconsin

[redacted]
[redacted] furnished the following information
to Special Agent [redacted], on January 15, 1973.

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[redacted]

b6
b7C

The above visit was only one of two such visits made by CROSBY to Madison. She does not believe that CROSBY will make any contact with either she or [redacted] as they are not in a position to be of financial aid to him and they did not aid him in his current flight from justice.

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[redacted] advised that she would advise the FBI of any information that comes to her attention concerning CROSBY's whereabouts.

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FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE 5/25/73	INVESTIGATED BY 5/25/73
II FRANCIS PETER CROSBY - FUGITIVE; ET AL		REPORT MADE BY O. EUGENE SMITH	TYPED BY oes
		CHARACTER OF CASE MISCELLANEOUS - CIVIL SUIT; FEDERAL LENDING AND INSURANCE AGENCIES - SMALL BUSINESS INVESTMENT COMPANIES	

REFERENCE: NY Report of SA O. EUGENE SMITH dated 3/8/73

- P -

ADMINISTRATIVE

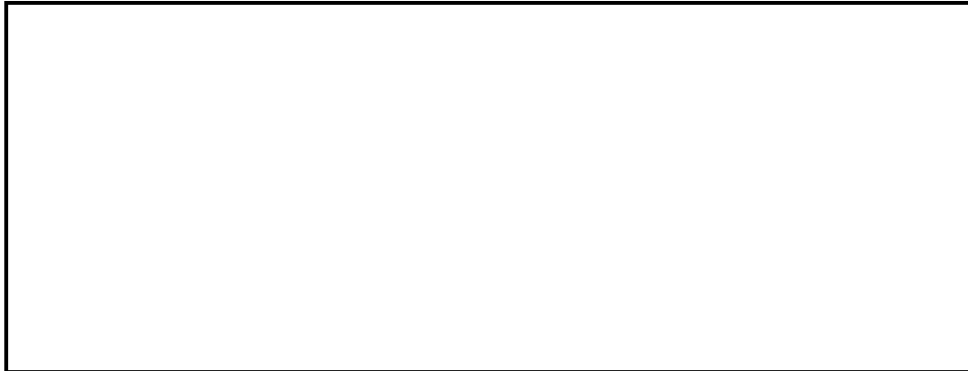
Information received from informants indicate that therefore, a request for an identification order is not being made at this time.

Close contact with informants will be maintained by New York in an effort to locate and apprehend CROSBY. If CROSBY is not located by 7/31/73 New York will give consideration to requesting the issuance of an identification order on FRANCIS PETER CROSBY.

ACCOMPLISHMENTS CLAIMED				<input checked="" type="checkbox"/> NONE	ACQUIT- TALS	CASE HAS BEEN: PENDING OVER ONE YEAR <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO PENDING PROSECUTION OVER SIX MONTHS <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
CONVIC.	FUG.	FINES	SAVINGS	RECOVERIES		
APPROVED				SPECIAL AGENT IN CHARGE		
COPIES MADE:				DO NOT WRITE IN SPACES BELOW		
③ - BUREAU (46-51211) 1 - USA, SDNY (ATT: AUSA WALKER) 2 - NEW YORK (46-6700)				<div style="text-align: right; font-size: 1.5em; font-weight: bold;">9C</div> <div style="text-align: center;">JUN 7 1973</div>		
				<div style="text-align: right; font-weight: bold;">REC-29</div> <div style="text-align: right; font-weight: bold;">ST-101</div>		
Dissemination Record of Attached Report				Notations		
Agency	10 ROM Civil			<div style="text-align: center; font-size: 1.2em; font-weight: bold;">FUG HUP EX - 111 DEC 1973</div>		
Request Recd.						
Date Fwd.	6/18/73					
How Fwd.	660					
By	HSD/mme					

NY 46-6700

INFORMANTS



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LEADS

NEW YORK

AT NEW YORK, NEW YORK

Will maintain contact with [REDACTED]

[REDACTED]
[REDACTED] Great Northern Hotel . 118 W 57th Street and
[REDACTED] in an effort to
locate and apprehend FRANCIS PETER CROSBY.

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b7D

Will conduct other investigation deemed appropriate.

COVER PAGE B*

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to: 1 - USA, SDNY (ATT: AUSA JOHN M. WALKER)

Report of: O. EUGENE SMITH
Date: 5/31/73

Office: NEW YORK, NEW YORK

Field Office File #: 46-6700

Bureau File #: 46-51211

Title: [REDACTED]
FRANCIS PETER CROSBY-FUGITIVE;
ET ALb6
b7CCharacter: MISCELLANEOUS - CIVIL SUIT;
FEDERAL LENDING AND INSURANCE AGENCIES-
SMALL BUSINESS INVESTMENT COMPANIESSynopsis: Efforts to locate FRANCIS PETER CROSBY at
New York unsuccessful. CROSBY continues to
call his wife, [REDACTED]b6
b7C

- P -

DETAILS:Contact was maintained with [REDACTED]
[REDACTED] and [REDACTED]
Great Northern Hotel, 118 West 57th Street, New York
City during the period March 21, 1973 through May 25,
1973. They were unable to furnish any additional
information concerning the current whereabouts of
FRANCIS PETER CROSBY.b6
b7C

b7D

NY 46-6700

The following investigation was conducted by the Chicago Division of the Federal Bureau of Investigation:

On March 6, 1973 and April 17, 1973 contacts were made with [redacted] who advised he has been alert for any information concerning FRANCIS PETER CROSBY but has failed to develop any information of value.

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On March 6, 1973 and April 17, 1973 recontacts were made with [redacted] wife of FRANCIS PETER CROSBY, [redacted] Illinois. She stated she does not know the whereabouts of FRANCIS PETER CROSBY, but even if she did she would not reveal this information. She advised that CROSBY still contacts her weekly by phone.

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE 11/7/73	INVESTIGATIVE PERIOD 5/19-11/2/73
TITLE OF CASE FRANCIS PETER CROSBY, aka. FRANK CROSBY, CARL RICH, CARL ROSS, RAY ROSS - FUGITIVE; ET AL		REPORT MADE BY O. EUGENE SMITH	TYPED BY oes b6 b7C
		CHARACTER OF CASE MISCELLANEOUS - CIVIL SUIT; FEDERAL LENDING AND INSURANCE AGENCIES -- SMALL BUSINESS INVESTMENT COMPANIES 11-14-73	

The title of this report is changed to add the aliases of FRANK CROSBY, CARL RICH and CARL ROSS and RAY ROSS for FRANCIS PETER CROSBY.

REFERENCES: NY report of SA O. EUGENE SMITH dated 5/31/73⁴⁰
Miami Letter to NY dated 6/27/73 (IO)
NY letter to Chicago dated 7/27/73 (IO)
Chicago Airtel to NY dated 9/20/73 (IO)
NY telephone calls to Louisville on October 4, 9, 1973
NY teletype to Louisville dated 10/9/73 (IO)
Louisville teletype to NY dated 10/6/73 (IO)

- P -

INFORMANTS

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ACCOMPLISHMENTS CLAIMED				<input checked="" type="checkbox"/> NONE	ACQUIT-TALS	CASE HAS BEEN:
CONVIC.	FUG.	FINES	SAVINGS	RECOVERIES		
						PENDING OVER ONE YEAR <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO PENDING PROSECUTION OVER SIX MONTHS <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO

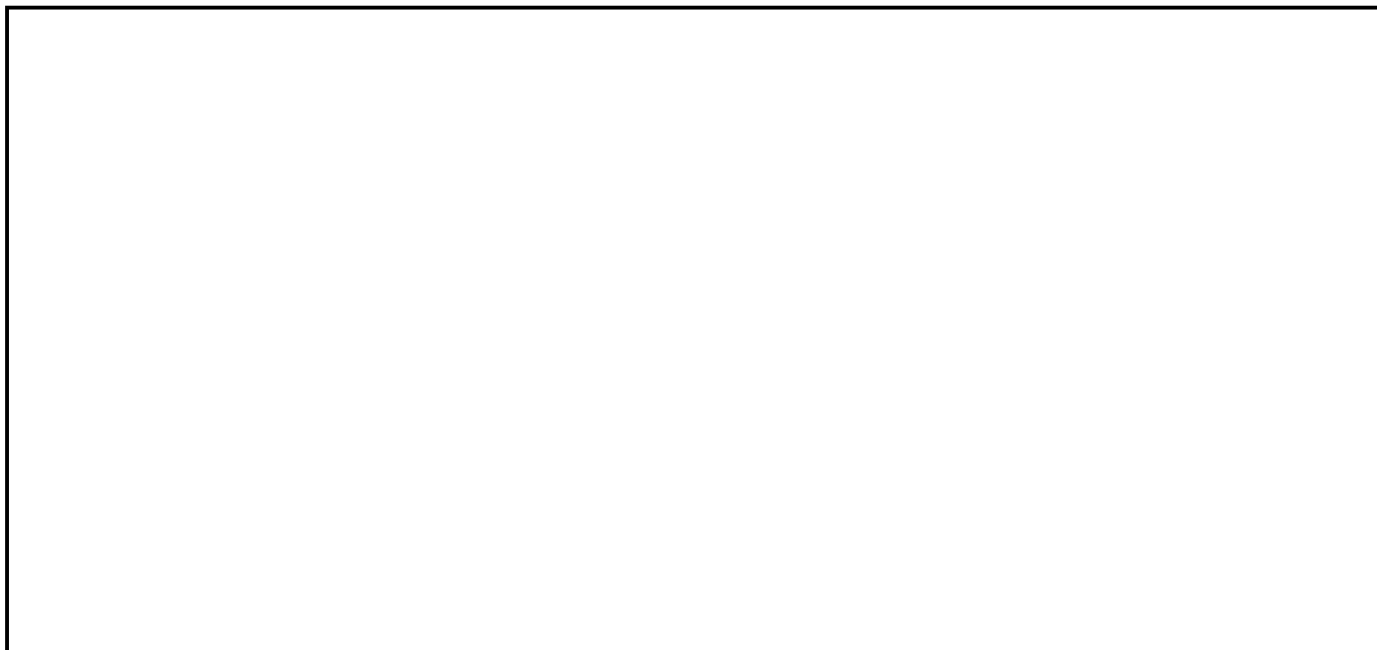
APPROVED	SPECIAL AGENT IN CHARGE	DO NOT WRITE IN SPACES BELOW
COPIES MADE: 3 - BUREAU (46-51211) 1 - USA, SDNY (ATT: AUSA WALKER) 2 - Louisville (46-1494) 2 - NEW YORK (46-6700)		46-51211-91 NOV 12 1973 REC-36 EX-100

Dissemination Record of Attached Report				Notations
Agency	Request Recd.	Date Fwd.	How Fwd.	By
1 (Ronald)		11.15.73	060	CWB

NOV 14 1973

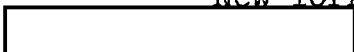
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NY 46-6700



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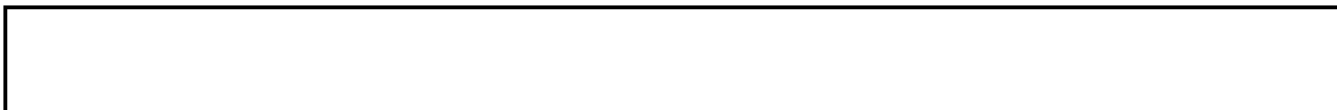
New York source referred to in details of report is



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b7D



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b7D



b7D

LEADS

LOUISVILLE

AT CORBIN, KENTUCKY

Will continue efforts to locate FRANCIS PETER CROSBY through
DEARL MC NEIL of Mc Neil Coal Company.

NY 46-6700

NEW YORK

AT NEW YORK, NEW YORK

Will maintain contact with [REDACTED]

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[REDACTED] Great Northern Hotel, 118 West 57th Street and [REDACTED]
[REDACTED] in an effort to locate and apprehend
FRANCIS PETER CROSBY.

Will maintain contact with NYO informants in an effort to
locate and apprehend FRANCIS PETER CROSBY.

Will conduct other investigation deemed appropriate.

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to: 1 - USA, SDNY (ATT: AUSA JOHN M. WALKER)

Report of: O. EUGENE SMITH
Date: 11/7/73

Office: NEW YORK, NEW YORK

Field Office File #: 46-6700

Bureau File #: 46-51211

Title:

[REDACTED]
FRANCIS PETER CROSBY, aka - FUGITIVE;
ET ALb6
b7CCharacter: MISCELLANEOUS - CIVIL SUIT; FEDERAL LENDING AND
INSURANCE AGENCIES -- SMALL BUSINESS INVESTMENT COMPANIESSynopsis: Efforts to locate FRANCIS PETER CROSBY at New York
unsuccessful to date. CROSBY reportedly in Corbin,
Kentucky, area in October, 1973.

- P -

DETAILS:

Contact was maintained with [REDACTED]
[REDACTED] and [REDACTED] Great Northern Hotel, 118 West
57th Street, New York City, during the period June 28, 1973, through
October 29, 1973. They were unable to furnish any additional infor-
mation concerning the whereabouts of FRANCIS PETER CROSBY.

b6
b7Cb6
b7C
b7D

The following investigation was conducted by the Louisville
Division:

DEARL MC NEIL of Corbin, Kentucky, owner of McNeil Coal
Company, located in Barbourville, Kentucky, was located on October 5,
1973. He advised that he had agreed to sell the coal company to

NY 46-6700

FRANK CROSBY and [redacted] for \$1,650,000. The closing of the transaction was set for October 10, 1973, at which time CROSBY and [redacted] were to be present in either Corbin or Barbourville, Kentucky. MC NEIL advised he would contact the FBI as to CROSBY'S expected time and place of arrival.

b6
b7c

The following investigation was conducted by the Miami Division:

[redacted] advised on May 19, 1973, that she was employed at Swiss American Discount Corporation, Lighthouse Point, Florida, as [redacted]. Upon viewing a photograph of FRANCIS PETER CROSBY, she advised that he is not known to her by either name or photograph and does not recall anyone meeting the description of CROSBY.

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b7c

On May 22, 1973, [redacted] of Swiss American Discount Corporation, Lighthouse Point, Florida, advised he does not know FRANCIS PETER CROSBY and never saw him at Swiss American Discount Corporation.

b6
b7c

The following investigation was conducted by the Chicago Division:

On September 5, 1973, [redacted] advised she would not divulge any information re her husband FRANCIS PETER CROSBY, even if she knew his whereabouts.

b6
b7c

LS 46-1494

RWM:plm

(1)

The following investigation was conducted by Special Agent [redacted] at Corbin, Kentucky.

b6
b7C

On October 5, 1973, the Holiday Inn and the Howard Johnson Motor Inn, Corbin, Kentucky, were contacted regarding the subject with negative results.

[redacted]

b7D

On October 5, 1973, [redacted] Detective, Corbin Police Department, Corbin, Kentucky, was alerted to the fugitive status of the subject, and the subject's purpose for being in Corbin, Kentucky. [redacted] advised that there was a DEARL MC NEIL, who is living in Corbin, Kentucky, and who had recently sold a coal company, the exact name of the company unknown. He advised that the coal company was located in Barbourville, Kentucky.

b6
b7C

On October 5, 1973, Trooper [redacted] Kentucky State Police, and Special Agent [redacted] located DEARL MC NEIL at a horse ranch in Knox County, Kentucky, and he stated that he had recently negotiated to sell his coal mine to two men he knew as FRANK CROSBY and [redacted]. He described CROSBY as a white male, 6'5", 215 pounds, black long hair, blue eyes. He stated [redacted] and CROSBY from California, and [redacted] was to buy 80% and CROSBY 20% of his mine. He furnished the name of his coal mine as Mc Neil Coal Company Incorporated, Route #1, Box 247, Corbin, Kentucky.

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b7C

MC NEIL stated he met CROSBY and [redacted] through [redacted] [redacted] about 6 months ago. He stated Sparks & Associates was a Real Estate Broker.

b6
b7C

LS 46-1494
(2)

MC NEIL stated that CROSBY and [] had been in Corbin, Kentucky, three or four times to negotiate the deal, and further advised that CROSBY was in Corbin, Kentucky, on October 4, 1973, and left on the same date, to be with his wife in California.

b6
b7C

MC NEIL stated CROSBY and [] were to be back in Corbin, Kentucky, to close a deal on the coal mine on October 10, 1973. He further stated that CROSBY advised him that he would spend the entire week, October 10, 1973, to October 13, 1973, in Corbin, Kentucky.

MC NEIL advised he sold his coal mine for one million six hundred fifty thousand dollars, and had received two checks to date. He produced a receipt from the Corbin Deposit Bank & Trust Company #1331, dated September 20, 1973. This receipt reflected that a \$25,000 check was mailed to Barclay's Bank of New York, 300 Park Avenue, deposited by DEARL MC NEIL, and drawn by Leasing Concepts Corporation.

He also produced a receipt from The Corbin Deposit Bank & Trust Company #1332, dated September 20, 1973. This receipt reflected that a two hundred and seventy thousand dollar check was mailed to the Bank of Elk Grove, Elk Grove Village, Illinois, deposited by DEARL MC NEIL and drawn on by Leasing Concepts Corporation. MC NEIL further advised that this two hundred and seventy thousand dollar check was returned marked "Insufficient Funds".

CROSBY advised that he was to receive another check for \$25,000 on October 5, 1973, but had not received it as yet.

MC NEIL advised that [] called him on October 5, 1973, and stated he, [] had received a check for \$5,000 on October 5, 1973, for his sales commission.

b6
b7C

b7D

LS 46-1494

(3)

On October 9, 1973, DEARL MC NEIL was contacted and stated that he had been contacted by [] and CROSBY, over the weekend October 5-10, 1973, and both stated that they would be in Corbin, Kentucky, for the closing of the deal on October 10, or October 11, 1973. MC NEIL advised that the two hundred and seventy thousand check which was returned to him, was signed by [] Leasing Concepts, Corporation, 97-45 Queens Boulevard, Forest Hills, New York.

b6
b7C

On October 10, 1973, DEARL MC NEIL was contacted, and stated that the subject would be in Corbin, Kentucky, on October 11, 1973, for the closing of the deal with himself.

DEARL MC NEIL was contacted twice on October 11, 1973. When first contacted, he advised the subject and [] would probably be riding to Corbin, Kentucky, in an automobile or automobiles belonging to []. He described these automobiles as a 1969 Oldsmobile 88, white over blue, or a 1971 Oldsmobile 98, black in color. On the second contact with MC NEIL, he stated that CROSBY did not accompany [] for the closing of the deal. He advised that CROSBY called about the time that [] arrived in Corbin, Kentucky, and stated he was tied up in business and would not be able to make the meeting. CROSBY advised MC NEIL that he would be in Corbin, Kentucky, next week.

b6
b7C

Since October 11, 1973, to October 24, 1973, close contact has been maintained with DEARL MC NEIL. MC NEIL states that he has closed his deal with [] and further states he has been contacted by CROSBY two or three times weekly, and each time he is contacted by CROSBY, he states that he will be in Corbin, Kentucky, two or three days later. MC NEIL advised that he would immediately contact the FBI upon receipt of information when CROSBY will be in Corbin, Kentucky.

b6
b7C

Assoc. Dir.	_____
Asst. Dir.:	_____
Admin.	_____
Comp. Syst.	_____
Ext. Affairs	_____
Files & Com.	_____
Gen. Inv.	_____
Ident.	_____
Inspection	_____
Intell.	_____
Laboratory	_____
Plan. & Eval.	_____
Rec. Mgmt.	_____
Legal Coun.	_____
Telephone Rm.	_____
Director Sec'y	_____

NR017 LS PLAIN

FEDERAL BUREAU OF INVESTIGATION
COMMUNICATIONS SECTION

11:12 PM NITEL 12/12/73 JWS

DEC 11 1973

TO DIRECTOR (46-51211)

TELETYPE

NEW YORK (46-6700)

FROM LOUISVILLE (46-1494) (P) 1P PER

DATE 12-13-73
to Ident

FRANCIS PETER CROSBY, AKA FUGITIVE,

ET AL. MISC - CIVIL SUIT; FLIA - SMALL BUSINESS INVESTMENT
COMPANIES. OO: NEW YORK.

DISCONTINUE. SUBJECT APPREHENDED INSTANT DATE CORBIN,
KY., BY BUAGENT AND LOCAL AUTHORITIES.

END

STATUS TAKEN

JAN 4 12 03 PM '74

DATA PROCESSING
SECTION - F

REC-15

46-51211-92

DEC 14 1973

30 JAN 1974

OO: MR. GILBERT

DATA PROCESSING
JAN 15 1974

MEMORANDUM FOR IDENTIFICATION DIVISION

Bufile <u>46-51211</u>		Name of Subject <u>Francis Peter Crosby aka</u>		Date <u>12-13-73</u>
FBI # <u>3463000</u>	Serial #	Other Identifying #	Fugitive Index # <u>3209P</u>	Subject Located <input checked="" type="checkbox"/>
Prosecution dismissed				
City <u>Corbin, Ky</u>	Reason and/or by whom: <u>Bu Agts</u>		DEC 14 1973	
Date <u>12-12-73</u>				

Action to be taken

Cancel fugitive stops for Index

☒ Gen'l Fug☐ Add additional aliases☐ SS

I. O. # _____

☐ DeserterDate of Fug Card 2-10-71

Ident Memo Received

☒ Yes☐ No☐ Description

LS Ntl 12-12-73

Want
if not
12-27

46-51211-

NOT RECORDED
20 JAN 3 1974

Remarks

F112

B-112

UNITED STATES GOVERNMENT

INSTRUCTIONS - Reverse side

Memorandum

TO : Director, FBI (46-51211)
Att: Special Investigative Division

DATE: 12/17/73 *Kuch* ²

FROM : SAC, LOUISVILLE (46-1494) (P)

- ☒ Initial Submission
☐ Supplements FD-65 dated _____
☐ Photograph not needed

SUBJECT: FRANCIS PETER CROSBY - FUGITIVE;
JOHN GEORGE BROADY - FUGITIVE;
ET AL
MISC. - CIVIL SUIT; FLIA - SMALL
BUSINESS INVESTMENT COMPANIES;
HARBORING OO: NEW YORK

- Indicate following:
☐ Extremist (Black)
☐ Extremist (White)
☐ Rev. Act.
☐ Other Security background
☒ None of these

b6
b7C

Caution <input type="checkbox"/>	MKE	Name	JOHN GEORGE BROADY		NAM	Sex	SEX	Race	RAC
					M		W		
Place of Birth					POB	Birth Date	DOB	Height	HGT
						9/1/03		6'	Weight
								225 lbs.	WGT
Eye Color	EYE	Hair Color	HAI	FBI No.	FBI	Skin Tone		SKN	
GRA		GRA							
Scars, Marks, Tattoos, etc.									
SMT									
NCIC Fingerprint Classification				FPC	Other Identifying Number		MNU	Social Security #	
								SOC	
Operator's License Number				OLN	Operator's License State		OLS	Year Expire	
								OLY	
Offense Charged OFF <u>HARBORING</u>									
U. S. Code, Title and Section <u>Title 18, Section 1071</u>									
Warrant Issued By <u>USMAGIS. CHARLES R. LUKER, London, Ky. 12/17/73</u>									
Date PBV or Bond Default Case Referred to Office _____									
F. O. File # <u>LS 46-1494</u>									
Miscellaneous Including Bond Recommended					MIS	Fingerprint Classification (Henry System)			
\$5,000 bond with surety						<i>B</i>			
LICENSE PLATE AND VEHICLE INFORMATION									
License Plate Number		LIC	State	LIS	Year Expires	LIY	License Plate Type		LIT
Vehicle Identification #		VIN	Year	VYR	Make	VMA	Model	VMO	Style
					FK-103				1211
Aliases					Additional Identifiers				
					REC-59				
					15 DEC 20 1973				
NCIC # <u>W 094450232</u>					FUG. SUP.				

1 - Bureau (RM)
3 - Louisville
RWM/jt (4)

FBI
U.S. DEPT. OF JUSTICE
INSTRUCTIONS

1. **Caution (MKE)** - Insert "C" in block if caution statement indicated. Basis for caution statement must appear in Miscellaneous block, e.g. armed and dangerous.
2. **Name (NAM)** - Place name in this block. Aliases are not to be entered in this block but are to be placed in Aliases block.
3. **Sex (SEX)** - Sex will be designated by one letter, M (male) or F (female).
4. **Race (RAC)** - Race will be described by one letter, W (white), N (Negro), I (Indian), C (Chinese), J (Japanese), O (all other). Mexicans who are not definitely Indian or other nonwhite should be described as "W".
5. **Place of Birth (POB)** - Indicate city and state or, if foreign born, city and country. Where multiple birthplaces are reported, list verified birthplace or that which appears most logical in this block.
6. **Birth Date (DOB)** - Enter as month, day and year. Where multiple birth dates are reported, enter verified birth date or that which appears most logical in this block. Place other dates of birth in Additional Identifiers block.
7. **Height (HGT)** - Express in feet and inches, e.g., 6' 0". Round off fractions to nearest inch.
8. **Weight (WGT)** - Express in pounds. Omit fractions.
9. **Eye Color (EYE)** - Use appropriate three character symbol.
10. **Hair Color (HAI)** - Use appropriate three character symbol.
11. **Skin Tone (SKN)** - Use appropriate three character symbol.
12. **Scars, Marks, Tattoos, etc. (SMT)** - Place in this block only appropriate NCIC coding for scars, marks, tattoos, birthmarks, deformities, missing body parts and artificial body parts as defined in NCIC Operating Manual. If more than one SMT is to be entered, use Additional Identifiers block for additional appropriately coded items. Use Miscellaneous block to describe all scars, marks, tattoos, etc. which are not defined in the NCIC Operating Manual and to more fully describe SMT's which have been entered in SMT block. For example, an appendectomy scar, not being readily visible, would be described in the Miscellaneous block. A tattoo on right arm, shown as TAT R ARM in block, might be further described in Miscellaneous block as a rose tattoo on inside of lower right arm.
13. **NCIC Fingerprint Classification (FPC)** - Enter NCIC fingerprint classification.
14. **Other Identifying Number (MNU)** - Miscellaneous numbers may be entered with appropriate identifiers (prefixes) as shown below. For first miscellaneous identifying number, use MNU block. When military service number is in fact Social Security Account Number, the number should be entered in both MNU and SOC blocks. Additional identifying numbers are placed in Additional Identifiers block. The identifier (prefix) should precede the number and be separated from the number by use of a hyphen.
 - AF - Air Force Serial Number
 - AR - Alien Registration Number
 - AS - Army Serial Number, National Guard Serial Number or Air National Guard Serial Number (regardless of State)
 - CG - U. S. Coast Guard Serial Number
 - MD - Mariner's Document or Identification Number
 - MC - Marine Corps Serial Number
 - MP - Royal Canadian Mounted Police Identification Number
 - NS - Navy Serial Number
 - PP - Passport Number
 - PS - Port Security Card Number
 - SS - Selective Service Number
 - VA - Veterans Administration Claim Number
15. **Fingerprint classification (Henry System)** - The Henry System fingerprint classification is to be placed in this block, when available. Do not enter in NCIC.
16. **Social Security Number (SOC)** - Place subject's Social Security Account Number in this block.
17. **Operator's License Number** - Place subject's operator's license number in OLN block. Also show licensing state (OLS) and year license expires (OLY).
18. **Warrant Issued By-On-(DOW)** - In Escaped Federal Prisoner cases enter date of escape in DOW block.
19. **Miscellaneous (MIS)** - Enter additional pertinent information in this block. If caution statement used, basis for statement must be set forth as first item in this block.
20. **License Plate and Vehicle Information** - Place information concerning license plate and/or vehicle known to be in the possession of subject in appropriate blocks under License Plate and Vehicle Information heading.
21. **Additional Identifiers** - Enter information concerning additional license plates (number, state, year expires, and where applicable, type); Social Security Numbers; operator's license number, state and year expires; vehicle information (VIN, VYR, VMA, VMO, VST, VCO); MNU's (see list in item 13 above); visible scars, marks, tattoos, etc.; and dates of birth. Clearly identify what data is being set forth; e.g. Social Security # 423-56-3294; Michigan operator's license 234567, expires 1972; DOB's 4/5/32, 5/3/32; etc.
22. Changes and deletions should be so indicated in the appropriate blocks.

COMMUNICATIONS SECTION

DEC 18 1973

TELETYPE

NR 014 LS PLAIN

7:45 PM NITEL SWC 12-18-73

TO DIRECTOR

NEW YORK (46-6700) (P) 1P
FROM LOUISVILLE

FRANCIS PETER CROSBY - FUGITIVE; JOHN GEORGE

BRODY FUGITIVE; ET AL., MISC - CIVIL SUIT, FLIA - SMALL BUSINESS
INVESTMENT COMPANIES. OO:NY.

RE FD 65 TO BUREAU THIS DATE.

JOHN GEORGE BRODY APPREHENDED INSTANT DATE, CORBIN, KY.,
BY BUAGENTS AND LOCAL AUTHORITIES WITHOUT INCIDENT, AND LODGED
LAUREL COUNTY JAIL, LONDON, KY.

US MARSHALL, LONDON, KY., BEING NOTIFIED.

END

CKG FBIHQ ACK 3

HOLD

Assoc. Dir.	_____
Asst. Dir.:	_____
Admin.	_____
Comp. Syst.	_____
Ext. Affairs	_____
Files & Com.	_____
Gen. Inv.	_____
Ident.	_____
Inspection	_____
Intell.	_____
Laboratory	_____
Plan. & Eval.	_____
Spec. Inv.	_____
Training	_____
Legal Coun.	_____
Telephone Rm.	_____
Director Sec'y	_____

b6
b7c

2
3

46-51211-93

fol 217

JAN 31 3 56 PM '74

DATA PROCESSING
SECTION-F

EX-117

REC-11

MCT-16

46-51211-93X

16224

JAN 4 1974

54 FEB 4 1974

Path Process

Federal Bureau of Investigation
Records Section

12/18, 1973

☐ Name Searching Unit - Room 6527☐ Service Unit - Room 6524☐ Forward to File Review☐ Attention☐ Return to

T. F. McGorray

Rm 6113 IB

Supervisor

Room Ext.

Ext. 3655

Type of References Requested:

☐ Regular Request (Analytical Search)☒ All References (Subversive & Nonsubversive)☐ Subversive References Only☐ Nonsubversive References Only☐ Main _____ References Only

Type of Search Requested:

☐ Restricted to Locality of _____☐ Exact Name Only (On the Nose)☐ Buildup☐ Variations

Subject

ALTMAN, ALEXANDER

Birthdate & Place _____

Address _____

Localities _____

R#

102

Date

12/18

Searcher

Initials

705

Prod.

FILE NUMBER

SERIAL

46-51211

I

29-166060 - 1,2

I

100-7321-6

100-347905 - X12 -

Alex

122-1878

100-4390-28

b3

b7E

DEC 19 1973

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE LOUISVILLE	OFFICE OF ORIGIN NEW YORK	DATE 12/27/73	INVESTIGATIVE PERIOD 12/17/73 - 12/21/73
TITLE OF CASE CHANGED [REDACTED]		REPORT MADE BY SA [REDACTED]	TYPED BY ek b6 b7c
FRANCIS PETER CROSBY, aka., Frank Crosby, Carl Rich, Carl Ross, Ray Ross; JOHN GEORGE BROADY, aka., Burt Harris, Bert Harris - FUGITIVE; ET AL		CHARACTER OF CASE MISCELLANEOUS - CIVIL SUIT FEDERAL LENDING AND INSURANCE AGENCIES- SMALL BUSINESS INVESTMENT COMPANIES; HARBORING	

Title of this report is changed to add the aliases of Burt Harris, Bert Harris for JOHN GEORGE BROADY.

REFERENCES:

Louisville report of SA [REDACTED] 12/19/73.
New York airtel to Louisville, 12/14/73.
Louisville nitel to New York, 12/18/73.

- P -

LEADS:NEW YORK DIVISIONAT NEW YORK, NEW YORK.

ACCOMPLISHMENTS CLAIMED					<input type="checkbox"/> NONE	ACQUIT- TALS	CASE HAS BEEN:
CONVIC.	FUG.	FINES	SAVINGS	RECOVERIES			
1	1						PENDING OVER ONE YEAR <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO PENDING PROSECUTION OVER SIX MONTHS <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
APPROVED [Signature] SPECIAL AGENT IN CHARGE						DO NOT WRITE IN SPACES BELOW	
COPIES MADE:						46-51411 75 MCT-29 REC 27 3	
3 - Bureau (46-51211)(RM) 1 - USA, Lexington, Kentucky 3 - New York (46-6700)(RM) (1 - USA, SDNY) 2 - Louisville (46-1494)							
Dissemination Record of Attached Report						Notations	
Agency	1-SBA					UP	
Request Recd.	2-NAO					PROC	
Date Fwd.	1/17/74 PGM/df						
How Fwd.	[Signature]						
By	[Signature]						

- A -

COVER PAGE

LS 46-1494



b7D

LOUISVILLE DIVISION

AT CORBIN, KENTUCKY.

Will interview [REDACTED] Days Inn Motel, regarding his observations of FRANCIS PETER CROSBY and JOHN GEORGE BROADY.

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b7C

AT LONDON, KENTUCKY.

Will follow and report removal of FRANCIS PETER CROSBY and further prosecutive action taken against JOHN GEORGE BROADY.

Will interview [REDACTED] for any information he may have regarding FRANCIS PETER CROSBY and his relationship with JOHN GEORGE BROADY.

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b7C

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to: 1 - USA, Lexington, Kentucky
1 - USA, SDNY (Attn: AUSA JOHN M. WALKER)

Report of: SA [REDACTED] Office: LOUISVILLE
Date: 12/27/73

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b7c

Field Office File #: 46-1494 Bureau File #: 46-51211

Title: [REDACTED]
FRANCIS PETER CROSBY;
JOHN GEORGE BROADY

Character: MISCELLANEOUS - CIVIL SUIT;
FEDERAL LENDING AND INSURANCE AGENCIES -
SMALL BUSINESS INVESTMENT COMPANIES; HARBORING

Synopsis:

JOHN GEORGE BROADY, white male, DOB 9/1/03, arrested Corbin, Kentucky, 12/18/73, and lodged Laurel County Jail, London, Kentucky, same date. BROADY appeared before U.S. Magistrate CHARLES R. LUKER, 12/19/73, and bond set at \$5,000.

[REDACTED] identified JOHN GEORGE BROADY as being at the Days Inn Motel and registering in under the name of Sum Publishing Company and using the name Bert Harris. [REDACTED]

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[REDACTED] identified JOHN GEORGE BROADY and FRANCIS PETER CROSBY and observed them at the Days Inn Motel on 12/11 and 12/12/73.

[REDACTED] stated JOHN GEORGE BROADY registered at the Days Inn Motel on 12/18/73, and reserved two rooms for two people. [REDACTED] stated JOHN GEORGE BROADY registered under the name of Sum Publishing Company and on 12/19/73, furnished his name as Bert Harris. [REDACTED]

[REDACTED] stated FRANCIS PETER CROSBY and JOHN GEORGE BROADY were in his office in Corbin, Kentucky, on 12/8/73 and 12/12/73. FRANCIS PETER CROSBY afforded a hearing 12/17/73. Hearing rescheduled for 12/18/73, pending arrival of appropriate papers from the Southern District of New York. U.S. Magistrate issued temporary commitment dated 12/18/73, against FRANCIS PETER CROSBY pending arrival of appropriate papers from the Southern District of New York.

- P -

DETAILS:

LS 46-1494

On December 17, 1973, United States Marshal [redacted] [redacted] advised that FRANCIS CROSBY was afforded a hearing on December 14, 1973, at which time his identity was established and another hearing was scheduled for December 18, 1973, pending receipt of appropriate papers from the Southern District of New York.

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b7c

FEDERAL BUREAU OF INVESTIGATION

1

12/27/73

Date of transcription

JOHN GEORGE BROADY was arrested at the corner of Main and First Streets in Corbin, Kentucky, by Special Agents [redacted] and Kentucky State Police Detective [redacted]. BROADY was advised of the official identity of Special Agent [redacted] and also advised that he was being placed under arrest on a federal charge of harboring a fugitive. BROADY was advised of his constitutional rights as set forth on an Advice of Rights form which he refused to sign and declined to make any statement.

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The following descriptive data was obtained through observation and interview:

Name:	JOHN GEORGE BROADY
Address:	110 Riverside Drive, New York, New York
Sex:	Male
Race:	White
Date of Birth:	September 1, 1903
Place of Birth:	Adams County, Iowa
Height:	6'1 3/4"
Weight:	225 pounds
Hair:	Gray
Eyes:	Blue
Social Security #:	092-01-2055
Marital Status:	Widower

b6
b7C

Prior Arrests: 1940 - Oklahoma, charged with conspiracy to wire tap, dismissed;
1949 - New York, charged with conspiracy to wire tap, acquitted;
1955 - New York, charged with conspiracy to wire tap, convicted sentenced to two to four years;
1966 - New York, charged with conspiracy to wire tap, convicted.

Interviewed on 12/18/73 at Corbin, Kentucky File # LS 46-1494

by SA [redacted] GWA/ek Date dictated 12/20/73

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b7C

- 3 -

LS 46-1494

JOHN GEORGE BROADY was lodged at the Laurel County Jail, London, Kentucky, and United States Marshal [redacted] was advised.

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On December 14, 1973, Assistant United States Attorney (AUSA) JAMES F. COOK, Lexington, Kentucky, authorized the filing of a complaint charging JOHN GEORGE BROADY with violation of Title 18, Section 1071, United States Code, and recommended bond at \$5,000 with surety. The authorized complaint was filed before United States Magistrate CHARLES R. LUKER, London, Kentucky, on December 17, 1973.

On December 18, 1973, JOHN GEORGE BROADY appeared before United States Magistrate CHARLES R. LUKER, waived preliminary hearing and bond set at \$5,000. BROADY again lodged at the Laurel County Jail.

FEDERAL BUREAU OF INVESTIGATION

1

12/27/73

Date of transcription

[redacted]
furnished the following information:

He is [redacted] at the Days Inn Motel in Corbin, Kentucky. He advised that two men had been together at the motel on three or four times prior to now and had been at the motel together from December 8 through December 12, 1973.

He described the older of the two men as being a white male, 6'2", 230 pounds, with gray hair. He further described the younger of the two men as being a white male, 6'1", 200 pounds, with full dark brown hair. He advised that the older man generally came into the office twice daily and would pay the bill in the evening.

[redacted] further stated that the older man would always register at the motel for the two of them and signed in as Sum Publishing Company from New Jersey. He further stated that they always indicated that they had no car. [redacted] estimated that the last time the two men were at the motel was around November 25, 1973, and at that time he told the older man that his name was needed on the registration card. The older man then told [redacted] that his company would not allow him to put his name on the registration for tax purposes. [redacted] advised that he then told the older gentleman that his company would not get a copy of the receipt with his name on it and further that his name was needed for the motel's record and security reasons. [redacted] advised that the older gentleman then printed his name as BERT HARRIS.

When these two men registered at the Days Inn for their current stay, the older gentleman checked in again and had the desk clerk sign his name as BERT HARRIS. [redacted] further advised that when this older gentleman registered he indicated that he had no car, however, on December 11, 1973, he asked the condition of the road leading to Barbourville, Kentucky, because of a recent snow fall.

[redacted] also furnished a piece of paper which indicated that one STEVE BROADY received a call from a [redacted] and BROADY was requested to call her back at phone number [redacted]

Interviewed on 12/17/73 at Corbin, Kentucky File # LS 46-1494

by SA [redacted] RWM/ek Date dictated 12/20/73

- 5 -

FEDERAL BUREAU OF INVESTIGATION

1

12/27/73

Date of transcription

[redacted]
furnished the following information:

b6
b7C

He is employed at the Days Inn Motel, Corbin, Kentucky, as [redacted] He had been informed that two men were staying in two different rooms and had registered without giving a name and had indicated that they had no automobile. On December 10, 1973, he determined that these men were driving a 1974 gray Buick, four door.

On December 11, 1973, he observed the 1974 Buick occupied by two men and a lady drive in to the Motel parking area and stop the car. He then observed the younger of the two men exit the car and walk at a fast pace toward his room. He further observed the older of the two men and the lady come into the restaurant of the Days Inn Motel. [redacted] advised that the younger of the two men was driving the car. He further stated that they came to the motel at approximately 4:00 or 4:30 PM on that date.

b6
b7C

[redacted] further advised that on December 12, 1973, he observed the 1974 Buick come into the parking lot area of the Days Inn Motel at approximately 3:45 PM. He stated this automobile was being driven at that time by the same man who had come into the motel cafeteria with the lady on December 11, 1973.

b6
b7C

Approximately 20 or 30 minutes later he observed the 1974 Buick leave the Days Inn Motel and it was occupied by the same men that he saw in the car on December 11, 1973.

[redacted] was displayed a photograph of FRANCIS PETER CROSBY and a photograph of JOHN GEORGE BROADY and he identified these individuals as the men he had seen in the 1974 Buick on December 11 and December 12, 1973.

b6
b7C

Interviewed on 12/19/73 at Corbin, Kentucky File # LS 46-1494

SA [redacted] RFM/ek Date dictated 12/20/73

b6
b7C

- 6 -

FEDERAL BUREAU OF INVESTIGATION

1

12/27/73

Date of transcription

[redacted]
furnished the following information:

b6
b7C

She is employed at the Days Inn Motel, Corbin, Kentucky, as [redacted]. She was displayed a photograph of JOHN GEORGE BROADY and identified him as the man who registered at the motel on December 8, 1973, at approximately 11:00 AM. [redacted] advised that BROADY said he wanted two rooms, one for himself and one for his partner. She advised that BROADY only wanted the rooms for one day and then started coming in daily and renewing the reservation. [redacted] further stated that she gave BROADY rooms 128 and 130 and asked him for a license number of the car he was driving. BROADY then advised that he was not traveling in a car.

b6
b7C

[redacted] stated that when BROADY registered he did not put down his name but registered under the name of Sum Publishing Company of New Jersey.

b6
b7C

On December 9, 1973, at approximately 8:00 AM BROADY came to the desk and paid for both rooms in cash. [redacted] then informed BROADY that he would have to furnish his name on the registration and BROADY furnished his name as BERT HARRIS. [redacted] advised that she wrote the name in the appropriate slot on the registration card.

b6
b7C

Interviewed on 12/20/73 at Corbin, Kentucky File # LS 46-1494

by SA [redacted] RWM/ek Date dictated 12/20/73

b6
b7C

- 7 -

FEDERAL BUREAU OF INVESTIGATION

1

12/27/73

Date of transcription

[redacted]
[redacted] furnished the following information:

b6
b7C

[redacted] and advised that two individuals known to him as JOHN BROADY and FRANK CROSBY were in his office on December 8, 1973, to discuss the purchase of the H & P Coal Company, Corbin, Kentucky. [redacted] advised that BROADY and CROSBY wanted to buy this coal company but the deal fell through on December 11, 1973, as BROADY and CROSBY could not come up with the money for the purchase of the coal company.

b6
b7C

During his business discussions with FRANK CROSBY he had informed CROSBY about a piece of land with coal on it and CROSBY and BROADY were back in his office on December 12, 1973, to discuss this piece of property. He further advised that CROSBY and BROADY were in his office on two different occasions on December 12, 1973.

[redacted] further advised that JOHN BROADY was in his office on December 11, 1973, and at that time and on all occasions when the three of them were together, BROADY would refer to CROSBY as FRANK. [redacted] further stated that he received phone calls from BROADY during the period December 8 to December 12, 1973, and during the course of the phone calls BROADY would refer to CROSBY as FRANK or FRANK CROSBY.

b6
b7C

12/19/73

Corbin, Kentucky

LS 46-1494

Interviewed on _____ at _____ File # _____

SA [redacted]

RWM/ek

12/20/73

by _____ Date dictated _____

b6
b7C

- 8 -

FEDERAL BUREAU OF INVESTIGATION

1

12/27/73

Date of transcription

[redacted]
furnished the following information;

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He was displayed a photograph of JOHN GEORGE BROADY and identified him as the individual who registered at the Days Inn Motel on December 8, 1973, under the name of Sum Publishing Company. He also identified BROADY as the individual he observed in the dining room of the Days Inn Motel on December 10, 1973, at approximately 6:00 or 7:00 PM.

[redacted] was displayed a photograph of FRANCIS PETER CROSBY and he stated that he could not be positive that this man was the same individual he saw in the presence of JOHN GEORGE BROADY on the evening of December 10, 1973. He stated, however, that the picture of CROSBY bore a strong resemblance to the man who was with BROADY on that date.

b6
b7C

Interviewed on 12/20/73 at Corbin, Kentucky File # LS 46-1494

SA [redacted] RWM/ek 1/20/73
by Date dictated

b6
b7C

- 9 -

LS 46-1494

On December 21, 1973, United States Marshal [redacted] b6
[redacted] advised that the United States Magistrate in Pineville, b7C
Kentucky, issued a temporary commitment dated December 18, 1973,
regarding FRANCIS PETER CROSBY pending the arrival of the
warrant and indictment against CROSBY from the Southern District
of New York.

On December 21, 1973, Assistant United States Attorney
JAMES F. COOK advised that a removal hearing would be held for
FRANCIS PETER CROSBY pending arrival of the appropriate papers
from the Southern District of New York.

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE LOUISVILLE	OFFICE OF ORIGIN NEW YORK	DATE 12/19/73	INVESTIGATIVE PERIOD 10/31/73 - 12/17/73
TITLE OF CASE CHANGED: FRANCIS PETER CROSBY, aka, Frank Crosby, Carl Rich, Carl Ross, Ray Ross - FUGITIVE; JOHN GEORGE BROADY - FUGITIVE; ET AL		REPORT MADE BY SA	TYPED BY pwm b6 b7C
		CHARACTER OF CASE MISCELLANEOUS - CIVIL SUIT; FEDERAL LENDING AND INSURANCE AGENCIES- SMALL BUSINESS INVESTMENT COMPANY; HARBORING 1-10-74	

Title is marked "changed" to add additional aliases of subject CROSBY.

REFERENCES:

New York report of SA O. EUGENE SMITH, 11/7/73?
Louisville teletype to New York, 12/12/73.
Louisville teletype to New York, 12/13/73.
New York teletype to Louisville, 12/13/73.

- P -

ACCOMPLISHMENTS CLAIMED					<input type="checkbox"/> NONE	ACQUIT- TALS	CASE HAS BEEN: PENDING OVER ONE YEAR <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO PENDING PROSECUTION OVER SIX MONTHS <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
CONVIC.	FUG.	FINES	SAVINGS	RECOVERIES			
	1-LS						
APPROVED		SPECIAL AGENT IN CHARGE		DO NOT WRITE IN SPACES BELOW			
COPIES MADE:				116-51311-96			
3 - Bureau (46-51211) (RM)				17 JAN 2 1974			
3 - New York (46-6700)				REC-39			
(1 - USA, SDNY)				EX-105			
1 - USA, Lexington, Kentucky							
2 - Louisville (46-1494)							
Dissemination Record of Attached Report							
Agency	1-SBA						
Request Recd.	1-RAO						
Date Fwd.							
How Fwd.							
By	21744						

Notations: FUG SUP
SIX
DATA PROC
PGM
1/18/74
A*
COVER PAGE

LS 46-1494

LEADS

NEW YORK

AT NEW YORK, NEW YORK

Will furnish Louisville with information regarding the times and places that the fugitive status of FRANCIS PETER CROSBY was discussed with JOHN GEORGE BROADY.

LOUISVILLE

AT CORBIN and LONDON, KENTUCKY:

Will interview appropriate witnesses relative to the harboring violation of JOHN GEORGE BROADY.

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

1 - USA, Lexington, Kentucky

1 - USA, SDNY (ATT: AUSA JOHN M. WALKER)

Copy to:

Report of:

SA [REDACTED]

Office: Louisville

b6

Date:

12/19/73

b7C

Field Office File #:

LS 46-1494

Bureau File #:

46-51211

Title:

[REDACTED]
FRANCIS PETER CROSBY;
JOHN GEORGE BROADY;
ET AL

Character:

MISCELLANEOUS - CIVIL SUIT;
FEDERAL LENDING AND INSURANCE AGENCIES -
SMALL BUSINESS INVESTMENT COMPANY;
Synopsis: HARBORING

FRANCIS PETER CROSBY, white male, born 10/4/23, apprehended 12/12/73, Corbin, Kentucky, and lodged Laurel County Jail, London, Kentucky. Deputy USM, London, Ky., notified 12/13/73. JOHN GEORGE BROADY, white male, born 9/1/43, with subject at time of arrest.

[REDACTED]

b7D

[REDACTED] AUSA, JAMES F. COOK, EDKY, Lexington, Ky., authorized filing of complaint charging JOHN GEORGE BROADY with violation of Title 18, Section 1271, USC, and recommended bond at \$5,000 with surety. Authorized complaint filed before U.S. Magistrate CHARLES R. LUKER, London, Kentucky, 12/17/73, and warrant issued.

- P -

DETAILS:

LS 46-1494

On October 31, 1973, November 8, 1973, November 17, 1973, and December 11, 1973, attempts to gain information regarding the location of FRANCIS PETER CROSBY from DEARL MC NEIL, were negative as NEIL had had no contact with CROSBY.

On December 11, 1973, [redacted] Detective, Kentucky State Police (KSP), stated he had received information that FRANCIS PETER CROSBY has been in the Corbin and London, Kentucky, areas for one or two days and was also in the company of another unidentified individual. [redacted] advised he would make inquiries and report any positive information to the Federal Bureau of Investigation (FBI).

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FEDERAL BUREAU OF INVESTIGATION

1

12/19/73

Date of transcription

[redacted] Detective, Kentucky State Police, (KSP), advised he had received information that FRANCIS PETER CROSBY was in the Corbin, Kentucky, area with another individual by the last name of BROADY. The purpose of their being in the Corbin, Kentucky, area, was to buy Top Coal Company. [redacted] further advised that these men were driving a 1974 Buick which was observed in front of the office of [redacted]

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The license number on this 1974 Buick was determined to be a 1973 Kentucky license, B93-961. A check on this license revealed that the car belonged to National Car Rental, Lexington Airport, Lexington, Kentucky, and this car was rented by JOHN G. BROADY, 14 Newark, Jersey City, New Jersey, or 110 Riverside Drive, New York, New York, on December 11, 1973, and BROADY was to return the car on December 17, 1973.

During the afternoon of December 17, 1973, a white male was observed entering this 1974 Buick and driving the car out of Corbin, Kentucky, north on Highway 25. This vehicle proceeded to Interstate 75 and traveled south to the South Corbin interchange, exited from Interstate 75 and drove to the Eight Days Motel, located at the intersection of 25-E and Interstate 75. Approximately 20 minutes later two white males were observed leaving the Eight Days Inn in the 1974 Buick and were observed driving to the office of [redacted]

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At this time FRANCIS PETER CROSBY was observed entering the office of [redacted] followed by an elderly white male.

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At approximately 4:45 PM, CROSBY and the other white male were observed to be leaving the office of [redacted] entered the 1974 Buick and proceeded in the direction of the Eight Days Inn Motel.

Interviewed on 12/13/73 at Corbin, Kentucky File # LS 46-1494

by SA [redacted] /pwm Date dictated 12/17/73

b6
b7C

- 3 -

FEDERAL BUREAU OF INVESTIGATION

1

Date of transcription 12/19/73

FRANCIS PETER CROSBY was located by Special Agent [redacted] in Corbin, Kentucky. He was advised of the official identity of Agent [redacted] and asked for identification. CROSBY stated his name was CARL RICH and produced identification. A passenger in the car in which CROSBY was driving, a white male, approximately 60 years of age identified himself to Agent [redacted] as JOHN BROADY, but declined to comment on the identity of FRANCIS PETER CROSBY.

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CROSBY was advised that he was being placed under arrest on a Federal warrant charging him with failure to appear when requested by the court, plus he was advised the warrant was issued by the Clerk of the Court, United States District Court, Southern District of New York.

At this time CROSBY inquired if he would be able to give his wallet to JOHN BROADY for safe keeping. He also attempted to place his wallet in the front seat of the 1974 Buick which he and JOHN BROADY were riding in. CROSBY then inquired if he would be able to give his watch to JOHN BROADY for safe keeping, which he was allowed to do.

While en route to the Laurel County Jail, London, Kentucky, a New Jersey driver's license in the name of FRANCIS P. CROSBY was found in CROSBY's wallet. The address listed on the driver's license was 320 South Harrison Street, East Orange, New Jersey. It reflected CROSBY's date of birth was October 4, 1923. When questioned about the driver's license, CROSBY stated his true identity was FRANCIS PETER CROSBY.

Also found in CROSBY's wallet was a driver's license in the name of JOHN GEORGE BROADY, 605 Oak Mount Drive, Las Vegas, Nevada. This driver's license described BROADY as follows:

Date of Birth	September 1, 1903
Sex	Male
Height	6'
Weight	225
Hair	Gray

Interviewed on 12/12/73 at Corbin, Kentucky File # LS 46-1494

by SA [redacted] /pwn Date dictated 12/17/73

b6
b7c

- 4 -

LS 46-1494

2

The following description of FRANCIS PETER CROSBY
was obtained from observation and interview:

Address	Oak Knoll Road Barrington, Illinois
Date of Birth	October 4, 1923
Place of Birth	Great Neck Long Island, New York
Sex	Male
Race	White
Height	6'4"
Weight	225 pounds
Hair	Gray natural, dyed brown
Eyes	Blue
Wife	<div data-bbox="819 862 1230 973"></div>

b6
b7C

LS 46-1494

FRANCIS PETER CROSBY was transferred to the Laurel County Jail, London, Kentucky, and lodged there on December 12, 1973.

On December 13, 1973, United States Deputy Marshal (USDM) [redacted] was notified of the subject's incarceration at the Laurel County Jail.

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On December 14, 1973, Assistant United States Attorney (AUSA) JAMES F. COOK, Lexington, Kentucky, authorized the filing of a complaint charging JOHN GEORGE BROADY with violation of Title 18, Section 1071, United States Code, and recommended bond at \$5,000 with surety. The authorized complaint was filed before United States Magistrate CHARLES R. LUKER, London, Kentucky, on December 17, 1973.

b7D

Airtel

2-6-74

TO: SAC, New York (46-6700)

FROM: Director, FBI (46-51211)

1 - Mr. Mitchell
1 - T. F. McGorray
Rm. 6113 IB

 Et Al.
MISCELLANEOUS - CIVIL SUIT;
FLIA - SMALL BUSINESS INVESTMENT COMPANY
HARBORING
OO: NY

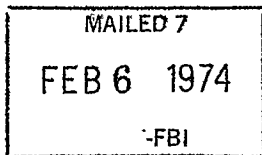
b6
b7C

b7D



PGM:aat
(5)

FOIPA # 238,062
ALL INFORMATION CONTAINED
HEREIN IS UNCLASSIFIED G-1
DATE 8/30/84 BY SP-7MAC/BJW



REC 16

46-57211-97

9 FEB 7 1974

- Assoc. Dir. _____
- Dep. AD Adm. _____
- Dep. AD Inv. _____
- Asst. Dir.: _____
- Admin. _____
- Comp. Syst. _____
- Ext. Affairs _____
- Files & Com. _____
- Gen. Inv. _____
- Ident. _____
- Inspection _____
- Intell. _____
- Laboratory _____
- Plan. & Eval. _____
- Spec. Inv. _____
- Training _____
- Legal Coun. _____
- Telephone Rm. _____
- Director's Sec'y _____

50 FEB 13 1974 MAIL ROOM

TELETYPE UNIT ☐

Federal Bureau of Investigation
Records Section

, 19__

<input type="checkbox"/>	Name Searching Unit - Room 6527
<input type="checkbox"/>	Service Unit - Room 6524
<input type="checkbox"/>	Forward to File Review
<input type="checkbox"/>	Attention _____
<input type="checkbox"/>	Return to _____
	Supervisor Room Ext.

Type of References Requested:

<input checked="" type="checkbox"/>	Regular Request (Analytical Search)
<input checked="" type="checkbox"/>	All References (Subversive & Nonsubversive)
<input type="checkbox"/>	Subversive References Only
<input type="checkbox"/>	Nonsubversive References Only
<input type="checkbox"/>	Main _____ References Only

Type of Search Requested:

<input type="checkbox"/>	Restricted to Locality of _____
<input type="checkbox"/>	Exact Name Only (On the Nose)
<input type="checkbox"/>	Buildup <input type="checkbox"/> Variations

Subject Crosby, Peter Francis
 Birthdate & Place _____
 Address _____

Localities

R# 268 Date 1-30 Searcher Initials 307
 Prod. 2

	FILE NUMBER	SERIAL
I	15-63644	
I	29-55675	
I	46-51211	
I	29-56770-87	
I	47-52652-6	
I	92-5799-13	p 42
I	92-7236-2	
	Peter	
I	29-66183	
I	47-52652	
I	87-15721	(1951)
I	87-49624	(10-5-59)
I	87-71640	(6-14-63)
I	87-73988	(1-28-64)
I	87-79652	(16-7-68)
I		
I		
I	46-52881-6	
I	66-18754-110	

b3
b7E

NUMEROUS REFERENCE

SEARCH SLIP

Subj: Crosby, Peter Francis

Supervisor _____ Room _____

R# 211 Date 1-30 Searcher Initial 307Prod. 111FILE NUMBERSERIALPeter87-0-AN.Y. MIRROR6-18-6087-15721-7, 1287-126320-1 p2, 388-52837-39 p292-11741-12 p.6162-1-324-10, 12163-28868-2Frances87-1145095-112536

b3

b7E

100-0-35868100-463786-139174-119-18 p25

FEB 1 1974

, 19

Supervisor	Room	Ext.
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☐ Regular Request (Analytical Search)
☒ All References (Subversive & Nonsubversive)
☐ Subversive References Only
☐ Nonsubversive References Only
☐ Main _____ References Only

☐ Restricted to Locality of _____
☐ Exact Name Only (On the Nose)
☐ Buildup ☐ Variations

Subject Picture Island

Birthdate & Place

Address

Localities

R# 208 Date 1-30 Searcher Initials 307

Prod.

FILE NUMBER

SERIAL

NR

Picture Island Computer
Corporation

163-31760

550

1974

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FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE	OFFICE OF ORIGIN	DATE	INVESTIGATIVE PERIOD
NEW YORK	NEW YORK	FEB 19 1974	1/2/74 - 2/12/74
TITLE OF CASE		REPORT MADE BY	TYPED BY
[REDACTED]		[REDACTED]	pc b6 b7C
ET AL		CHARACTER OF CASE MISCELLANEOUS - CIVIL SUIT FEDERAL LENDING AND INSURANCE AGENCIES SMALL BUSINESS INVESTMENTS COMPANY; HARBORING	

REFERENCES:

Louisville report of SA [redacted] 12/27/73.
Bureau Airtel to NY, 2/6/74. ¹
-P-

ADMINISTRATIVE:

--

LHM re FRANCIS PETER CROSBY being forwarded by separate communication.

ACCOMPLISHMENTS CLAIMED					<input checked="" type="checkbox"/> NONE	ACQUIT- TALS	CASE HAS BEEN: PENDING OVER ONE YEAR <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO PENDING PROSECUTION OVER SIX MONTHS <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
CONVIC.	FUG.	FINES	SAVINGS	RECOVERIES			
APPROVED <i>[Signature]</i> SPECIAL AGENT IN CHARGE						DO NOT WRITE IN SPACES BELOW	
COPIES MADE: 3 - Bureau (46-51211) 1 - USA, SDNY (ATT: AUSA WALKER) 1 - USA, SDNY (ATT: AUSA ROOSEVELT) 3 - Louisville (46-1494) (1 - USA, Lexington, Kentucky) 2 - New York (46-6700) <i>1 extra copy made</i>						17 FEB 21 1974 <i>EX-117</i>	
Dissemination Record of Attached Report						Notations	
Agency	1 - SBA					<i>[Signature]</i> SIX DATA PROC.	
Request Recd.	2 - RAO						
Date Fwd.							
How Fwd.							
By	<i>[Signature]</i> PGM 3/1/74						

NY 46-6700

ADMINISTRATIVE CONTINUED:



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Copies of this report are being furnished to AUSA WALKER, SDNY, who is handling the criminal matter in connection with this matter, and also a copy is being furnished to AUSA ROOSEVELT who is handling the miscellaneous - civil suit.

LEADS:

NEW YORK

AT NEW YORK, NEW YORK. Will follow civil action in this matter with AUSA ROOSEVELT, SDNY.

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to: 1 - USA, Lexington, Kentucky
1 - USA, SDNY (ATT: AUSA ROOSEVELT)
1 - USA, SDNY (ATT: AUSA WALKER)

Report of:
Date:

[REDACTED]

Office:

New York, New York

b6
b7C

Field Office File #:

46-6700

Bureau File #: 46-51211

Title:

[REDACTED]

FRANCIS PETER CROSBY;
JOHN GEORGE BROADY

Character:

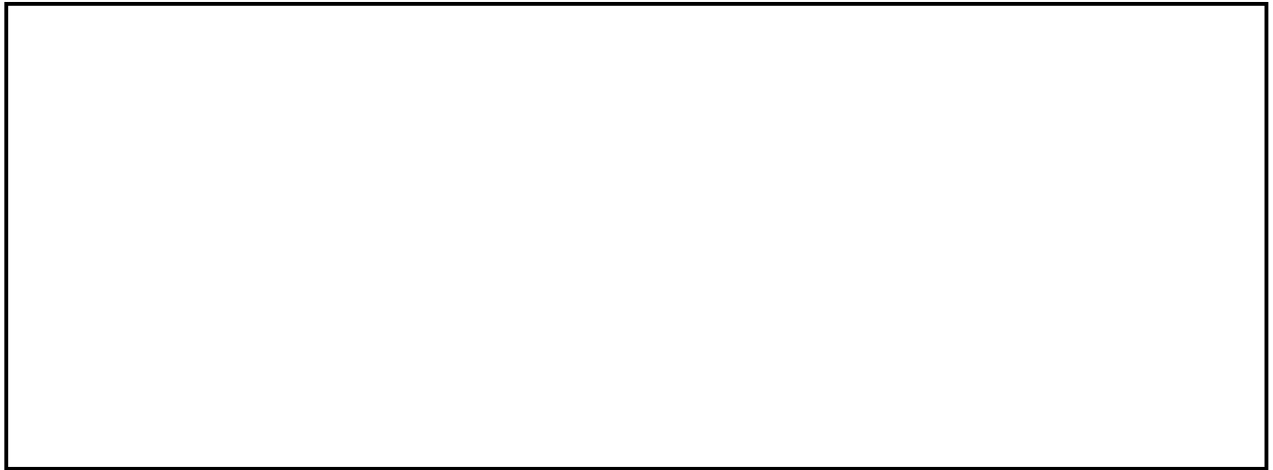
MISCELLANEOUS - CIVIL SUIT;
FEDERAL LENDING AND INSURANCE AGENCIES -
Synopsis: SMALL BUSINESS INVESTMENTS COMPANY;
HARBORING

b7D

-P-

DETAILS:

FEDERAL BUREAU OF INVESTIGATION

Date of transcription 1/8/74

b7D

Interviewed on 1/2/74 at New York, New York File # NY 46-6700by SA [redacted] /cmb Date dictated 1/4/74b6
b7C

This document contains neither recommendations nor conclusions of the FBI. It is the property of the FBI and is loaned to your agency; it and its contents are not to be distributed outside your agency.

HWG:cmb

1.

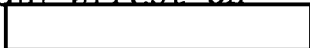
NY 46-6700



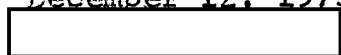
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On February 12, 1974, Assistant United States Attorney JOHN WALKER, Southern District of New York advised information concerning FRANCIS PETER CROSBY arrest on December 12, 1973, could be furnished to 

b7D



Federal Bureau of
Investigation Number 346300D
NCIC Number W05500693

Francis Peter Crosby white male, born October 4, 1923, was apprehended by Federal Bureau of Investigation (FBI) agents on December 12, 1973, at Corbin, Kentucky and lodged into the Laurel County Jail, London, Kentucky. On December 18, 1973, the United States Magistrate in Pineville, Kentucky placed a temporary commitment regarding Crosby pending the arrival of appropriate papers from the SDNY.

UNITED STATES GOVERNMENT

Memorandum

TO : DIRECTOR, FBI (46-51211)

DATE: 2/19/74

FROM : *JFM/jm* SAC, NEW YORK (46-6700)

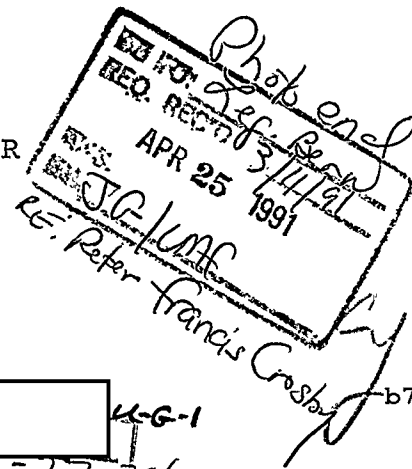
SUBJECT:

ET AL

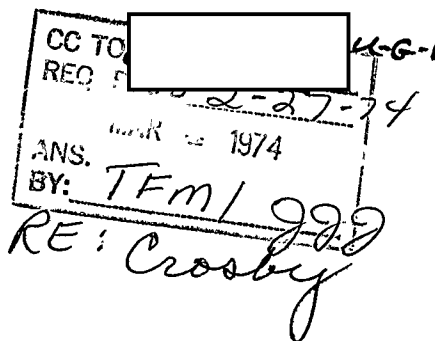
MISCELLANEOUS - CIVIL SUIT;
FLIA-SMALL BUSINESS INVESTMENT COMPANY,
HARBORING
(OO:NEW YORK)

Re Bureau airtel to New York, 2/6/74.

Enclosed for the Bureau is the original
and five copies of an LHM regarding FRANCIS PETER
CROSBY, concerning his arrest on 12/12/73, in
Kentucky.



ALL INFORMATION CONTAINED
HEREIN IS UNCLASSIFIED
DATE 8/30/84 BY SP-7 MAC/eww
FOIA # 238060



ENCLOSURE

REC-19

46-51211-99

2-Bureau (Encls. 6)
1-New York

3 FEB 22 1974

PMC:mcp
(3)

SEE REVERSE SIDE FOR
ADD. DISSEMINATION



4 FEB 28 1974

Buy U.S. Savings Bonds Regularly on the Payroll Savings Plan



UNITED STATES DEPARTMENT OF JUSTICE

FEDERAL BUREAU OF INVESTIGATION

In Reply, Please Refer to
File No.

New York, New York
February 19, 1974

ALL INFORMATION CONTAINED
HEREIN IS UNCLASSIFIED

DATE 8/30/84 BY SP-7MAC/eww

[REDACTED]
Francis Peter Crosby Also Known As,
Frank Crosby,
Carl Rich,
Carl Ross,
Ray Ross;
John George Broady Also Known As;
Burt Harris,
Bert Harris

b6
b7C

On May 9, 1969, Francis Peter Crosby, Raymond Pierson, and Vincent Joseph Calise, were indicted by the Federal Grand Jury (FJG) in the Southern District of New York (SDNY) and they were charged in part with Misapplication of Funds of Roosevelt Capital Corporation which corporation was located in Garden City, New York. The three defendants entered pleas of not guilty to the charges in the indictment.

On February 9, 1971, Raymond Pierson, entered a plea of guilty to Count 1 of the indictment previously returned against him. On February 9, 1971, a trial concerning Crosby and Calise was held in the SDNY.

On February 19, 1971, the jury returned a verdict of guilty on this date against Francis Peter Crosby on all six counts of the indictment previously returned against him and a verdict of guilty against Vincent Joseph Calise to the one count in the Indictment previously returned against him. Crosby was released on \$25,000.00 own recognizance bond and his travel was restricted to the United States. Calise was also released on his own recognizance. The sentencing date for Crosby and Calise was set for March 19, 1971.

On March 26, 1971, Crosby and Calise appeared in the United States District Court (USDC) Southern District of New York (SDNY) at which time they were sentenced as follows:

This document contains neither recommendations nor conclusions of the FBI. It is the property of the FBI and is loaned to your agency; it and its contents are not to be distributed outside your agency.

ENCLOSURE

45-111-99

Francis Peter Crosby sentenced to interim sentence of Temporary Commitment not to exceed three months, unless extended, for study to advise the court pending final sentencing imposition of sentencing to commence, April 13, 1971;

Vincent Joseph Calise. sentenced to one year and a day, imposition of sentence delayed, pending outcome of appeal. Sentencing of Crosby was for violation of Title 18, United States Code (USC) Section 657, 371 and 2. Sentencing of Calise was for violation of Title 18, USC, Section 657 and 371.

On December 1, 1971, an order was issued by United States District Judge Harold R. Tyler, SDNY, ordering Francis Peter Crosby to surrender for service or sentence.

On December 27, 1971, a warrant for the arrest of Crosby was issued for failure to surrender for sentence by clerk, USDC, SDNY.

The following description of Crosby is as follows:

Name	Francis Peter Crosby
Sex	Male
Race	White
Residence	46 Little Cahill Road, Trout Valley, Cary, Illinois
Date of Birth	October 4, 1923
Place of Birth	Great Neck, Long Island, New York
Height	6 feet 4 inches
Weight	215 pounds
Build	Medium
Hair	Gray
Eyes	Blue
Complexion	Ruddy
Wife	
Residence	

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1 yles
1 Mitchell, Rm 2248

46-51211 - 100

February 11, 1974

PETER FRANCIS CROSBY;
PICTURE ISLAND COMPUTER INC.;

NH/

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[Redacted]

With regard to Picture Island Computer Inc., there is enclosed for your information memoranda dated October 6, 1971, and October 19, 1971, captioned "Picture Island Computer Corporation; Industrial Dynamics Corporation."

62-5-
143-31760
62-5-111

With regard to Peter Francis Crosby, there are enclosed for your information two copies of FBI Identification Record Number 346 300 D for Peter Crosby, which record may or may not be identifiable with the Crosby about whom you inquired. Enclosed also for your information, are Dallas reports of Special Agent Robert C. Lish dated January 31, 1961, and May 22, 1961, captioned "William B. Aberson; Et Al., Interstate Transportation of Stolen Property," which contain information concerning Crosby's activities in 1961. In addition, the central files of this Bureau reveal Crosby is presently under investigation by both our New York and Louisville Offices. The enclosed arrest record for Peter Crosby verifies his arrest in Louisville, Kentucky, on December 12, 1973. Crosby is under investigation by our New York Office in the case entitled "Arthur V. Briskin, Et Al., Miscellaneous - Civil Suit; FLIA - Small Business Investment Company, Harboring," and by our Louisville Office in the case entitled [Redacted] Et Al., Federal Reserve Act, Interstate Transportation of Stolen Property, Mail Fraud, Conspiracy."

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(46-51211; 29-55675)

The central files of this Bureau contain no information identifiable with [Redacted]

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In view of the pending nature of these investigations, [Redacted]

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Enclosures (6)

Original and 1 [Redacted]

TFM:ysc (6)

NOTE: Matter coordinated with Supervisor P. Mitchell, General Investigative Div., who by airtel dated 2/6/74, requested

FEB 16 1974

1 - 62-35717

NOTE CONTINUED PAGE TWO

MAIL ROOM ☐ TELETYPE UNIT ☐

b7D

ALL INFORMATION CONTAINED
HEREIN IS UNCLASSIFIED

DATE 8/30/84 BY SP-7MAC/baw

Assoc. Dir. _____
Dep. AD Adm. _____
Dep. AD Inv. _____
Asst. Dir.: _____
Admin. _____
Comp. Syst. _____
Ext. Affairs _____
Files & Com. _____
Gen. Inv. _____
Ident. _____
Inspection _____
Intell. _____
Laboratory _____
Plan. & Eval. _____
Spec. Inv. _____
Training _____
Legal Coun. _____
Telephone Rm. _____
Director Sec'y _____

Peter Francis Crosby; Picture Island Computer Inc.; [REDACTED]

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NOTE: New York Office to contact U.S. Attorney to determine what information might be furnished to [REDACTED] New York has been advised b7D to prepare an LHM for dissemination to [REDACTED]

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE APR 5 1974	INVESTIGATIVE PERIOD 3/4-21/74
TITLE OF CASE ET AL		REPORT MADE BY [REDACTED]	TYPED BY cmb b6 b7C
		CHARACTER OF CASE MISCELLANEOUS-CIVIL SUIT FEDERAL LENDING AND INSURANCE AGENCIES; SMALL BUSINESS INVESTMENT COMPANY; HARBORING	

REFERENCES

NY letter to Bu. 2/19/74.
Rep of SA **[REDACTED]** at NY, 2/19/74. ⁹⁸

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- P -

ADMINISTRATIVE

Copies of this report are being furnished to AUSA WALKER, SDNY, who is handling the criminal matter and also a copy is being furnished to AUSA ROOSEVELT, SDNY, who is handling the Miscellaneous-Civil suit.

ACCOMPLISHMENTS CLAIMED					<input checked="" type="checkbox"/> NONE	ACQUIT-TALS	CASE HAS BEEN: PENDING OVER ONE YEAR <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO PENDING PROSECUTION OVER SIX MONTHS <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
CONVIC.	FUG.	FINES	SAVINGS	RECOVERIES			
APPROVED [Signature] SPECIAL AGENT IN CHARGE						DO NOT WRITE IN SPACES BELOW	
COPIES MADE 3 - Bureau (46-51211) 1 - USA, SDNY (ATT: AUSA WALKER) 1 - USA, SDNY (ATT: AUSA ROOSEVELT) 3 - Louisville (46-1494) (1 - USA, Lexington, Kentucky) 2 - New York (46-6700)						4/15/74 APR 8 1974 REC-77 EX-116	
Dissemination Record of Attached Report						Notations	
Agency	1-SBA					DATA PROC PGM 4/15/74 - A -	
Request Recd.	2-RAO						
Date Fwd.							
How Fwd.							
By							

COVER PAGE

NY 46-6700

LEADS

LOUISVILLE

AT LONDON, KENTUCKY. Will following and report removal of FRANCIS PETER CROSBY, and further prosecutive action taken against JOHN GEORGE BROADY.

NEW YORK

AT NEW YORK, NEW YORK. Will follow civil action in this matter with AUSA ROOSEVELT, SDNY.

- B* -
COVER PAGE

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to: 1 - USA, Lexington, Kentucky
1 - USA, SDNY (ATT: AUSA WALKER)
1 - USA, SDNY (ATT: AUSA ROOSEVELT)

Report of: [REDACTED] Office: New York, New York b6
Date: APR 5 1974 b7C

Field Office File #: 46-6700 Bureau File #: 46-51211

Title: [REDACTED]
FRANCIS PETER CROSBY;
JOHN GEORGE BROADY

Character: MISCELLANEOUS-CIVIL SUIT; FEDERAL LENDING AND INSURANCE AGENCIES; SMALL BUSINESS INVESTMENT COMPANY; HARBORING

Synopsis: FRANCIS PETER CROSBY, currently in Bell County Jail, Pineville, Kentucky, in custody of US Marshal, Eastern District of Kentucky. CROSBY held as material witness under \$25,000.00 bond. A warrant of removal has been issued but is temporarily held in abeyance by order of US Magistrate DAVID IRWIN, Lexington, Kentucky.

- P -

DETAILS:

On March 4, 1974, Assistant United States Attorney (AUSA) EDWARD LEVITT, Strike Force, Southern District of New York (SDNY), telephonically contacted Special Agent (SA) [REDACTED] and requested the whereabouts of FRANCIS PETER CROSBY. b6
On this date the Louisville Office was contacted and SA [REDACTED] b7C
[REDACTED] advised that CROSBY was currently in Bell County Jail, Pineville, Kentucky, in the custody of the United States Marshal, Eastern District of Kentucky. CROSBY is being held as a material witness under a \$25,000.00 bond. A warrant of removal had been issued but is temporarily held in abeyance by order of the United States Magistrate DAVID IRWIN, Lexington, Kentucky.

NY 46-6700

On March 4, 1974, this information was furnished to Mr. LEVITT, Strike Force Attorney, SDNY.

On March 21, 1974, AUSA CHRISTOPHER ROOSEVELT, SDNY, was also advised of the whereabouts of FRANCIS PETER CROSBY, and Mrs. ROOSEVELT advised that he would file a complaint in connection with the civil matter and have this complaint served against Mr. CROSBY in Pineville, Kentucky.

UNITED STATES GOVERNMENT

Memorandum

TO : Director, FBI (46-51211)

DATE: 4/25/74

FROM : SAC, Louisville (46-1494)

SUBJECT:

FRANCIS PETER CROSBY;
JOHN GEORGE BROADY
MISCELLANEOUS - CIVIL SUIT;
FEDERAL LENDING AND INSURANCE AGENCIES -
SMALL BUSINESS INVESTMENT COMPANIES;
HARBORING

Enclosed herewith for the Bureau is

By separate communication the New York Office is being requested to furnish information in form suitable for dissemination to the U. S. Attorney, Eastern District of Kentucky, concerning

I severely admonished SA for his failure to reduce the information he obtained from the New York Agent to writing

② - Bureau (Enc. 3)

1 - Louisville

TWK:ww

(3)

ENCLOSURE ATTACHED

18 MAY 9 1974



5010-110

5 MAY 14 1974

Buy U.S. Savings Bonds Regularly on the Payroll Savings Plan

LS 46-1494

and to place it in the file. I also severely admonished him for not having promptly advised us of the request of the U. S. Attorney and to have followed up promptly. He assured me this would not happen again.

On this date I discussed this matter with EUGENE E. SILER, JR., U. S. Attorney, Eastern District of Kentucky, and he stated that [REDACTED]

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Mr. SILER is a most cooperative U. S. Attorney and this will not adversely affect our relations with him. Mr. SILER was complimentary in his remarks about the aggressive manner in which SA [REDACTED] had handled this investigation. U. S. Attorney SILER stated that it was still his desire to prosecute BROADY for both Harboring and Perjury.

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The above is being submitted for the information of the Bureau. I do not consider any administrative action necessary toward SA [REDACTED] in view of my admonishing him and since no harm has been done with our liaison with the U. S. Attorney's office.

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48-31-11-102

ENCLOSURE

46-51211-102

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE JUL 25 1974	INVESTIGATIVE PERIOD 6/27/74 - 7/15/74
TITLE OF CASE ET AL		REPORT MADE BY [REDACTED]	TYPED BY dyb6 b7C
		CHARACTER OF CASE MISCELLANEOUS - CIVIL SUIT; FEDERAL LENDING AND INSURANCE AGENCIES - SMALL BUSINESS INVESTMENT COMPANIES	

REFERENCES

NYrep of SA **[REDACTED]** dated 6/27/74.
LSairtel to New York, 6/28/74. 20

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-P-

LEADSNEW YORK

AT NEW YORK, NEW YORK. Will maintain contact with AUSA, SDNY regarding this matter.

ACCOMPLISHMENTS CLAIMED					<input checked="" type="checkbox"/> NONE	ACQUIT-TALS	CASE HAS BEEN: PENDING OVER ONE YEAR <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO PENDING PROSECUTION OVER SIX MONTHS <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
CONVIC.	FUG.	FINES	SAVINGS	RECOVERIES			
APPROVED <i>[Signature]</i> SPECIAL AGENT IN CHARGE						DO NOT WRITE IN SPACES BELOW	
COPIES MADE: ③ - Bureau (46-51211) 1 - USA, SDNY (ATTN: AUSA WALKER) 1 - USA, SDNY (ATTN: AUSA ROOSEVELT) 2 - New York (46-6700) <i>1 extra copy made</i>						103 REG-74 JUL 20 1974 <i>[Handwritten notes and stamps]</i>	
Dissemination Record of Attached Report						Notations	
Agency	1-CIVIL		1-SBA			<i>[Handwritten notes and stamps]</i>	
Request Recd.			1-RAC				
Date Fwd.	8/1/74						
How Fwd.	56 AUG 9 1974						
By						PGM: <i>[Signature]</i> 8/8/74 -A*-	

COVER PAGE

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to:

1 - USA, SDNY (ATTN: AUSA WALKER)
1 - USA, SDNY (ATTN: AUSA ROOSEVELT)

Report of:

Office: New York, New York

b6

Date:

b7C

Field Office File #:

46-6700

Bureau File #: 46-51211

Title:

ET AL

Character:

MISCELLANEOUS - CIVIL SUIT; FEDERAL LENDING AND INSURANCE
AGENCIES - SMALL BUSINESS INVESTMENT COMPANIES

Synopsis:

AUSA, EDKY, Lexington Kentucky advised that FRANCIS PETER
CROSBY had been removed to the SDNY on 6/13/74.

-P-

DETAILS:

By communication dated June 28, 1974, the Louisville Division advised that on June 27, 1974, Assistant United States Attorney (AUSA) JAMES F. COOK, Eastern District of Kentucky, Lexington Kentucky, advised that FRANCIS PETER CROSBY had been removed to the Southern District of New York (SDNY) on June 13, 1974.

AUSA COOK also stated that CROSBY made the \$25,000.00 bond in regard to the material witness warrant filed January 16, 1974, EDKY, Lexington Kentucky.

Deputy Court Clerk [redacted] London, Kentucky, stated on June 28, 1974, that CROSBY made bond on June 11, 1974, at Lexington, Kentucky for appearance on November 11, 1974, in United States District Court London, Kentucky in the case of United States vs. WILLIAM L. ROSE, ET AL.

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On July 15, 1974, AUSA JOHN WALKER advised that FRANCIS PETER CROSBY is presently incarcerated in the West Street jail

NY 46-6700

at the present time. Mr. WALKER stated that he has been in contact with CROSBY's attorney.

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE 6/20/74	INVESTIGATIVE PERIOD 3/28/74 - 6/12/74
TITLE OF CASE CHANGED INTER-OFFICE ARTHUR V. CRISKIN; FRANCIS PETER CROSBY, aka Frank Crosby, Carl Rich, Carl Ross, Ray Ross		REPORT MADE BY <div style="border: 1px solid black; width: 100px; height: 15px;"></div>	TYPED BY mcp b6 b7C
		CHARACTER OF CASE MISCELLANEOUS-CIVIL SUIT FEDERAL LENDING AND INSURANCE AGENCIES SMALL BUSINESS INVESTMENT, COMPANY	

Title marked "Changed" (Inter-Office) to delete the name of JOHN GEORGE BROADY and the character of Harboring.

REFERENCES

New York airtel to Louisville, 5/1/74.
Louisville letter to New York, 4/25/74.
Louisville airtel to New York, 4/19/74.
New York report of SA 4/5/74.

-P-

ACCOMPLISHMENTS CLAIMED					<input checked="" type="checkbox"/> NONE	ACQUIT- TALS	CASE HAS BEEN: PENDING OVER ONE YEAR <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO PENDING PROSECUTION OVER SIX MONTHS <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
CONVIC.	FUG.	FINES	SAVINGS	RECOVERIES			

APPROVED <div style="border: 1px solid black; width: 100px; height: 50px; display: flex; align-items: center; justify-content: center;"> </div>	SPECIAL AGENT IN CHARGE	DO NOT WRITE IN SPACES BELOW	
COPIES MADE: ③-Bureau (46-51211) 1-USA, SDNY (ATTN: AUSA WALKER) 1-USA, SDNY (ATTN: AUSA ROOSEVELT) 3-Louisville (46-1494) (1-USA, Lexington, Kentucky) 2-New York (46-6700)		<div style="font-size: 2em; font-family: cursive;">46-51211-104</div> <div style="border: 1px solid black; padding: 5px; display: inline-block;"> JUN 25 1974 FBI - NEW YORK </div> <div style="border: 1px solid black; padding: 5px; display: inline-block;"> REC-58 FBI - NEW YORK </div>	
Dissemination Record of Attached Report		Notations	
Agency	1-SBA	<div style="border: 1px solid black; padding: 5px; display: inline-block;"> NINE SIX DATA/PETE </div>	
Request Recd.	2-RAO		
Date Fwd.	8/1/74		
How Fwd.	PG-M/df		

SEP 11 1974

COVER PAGE

NY 46-6700

ADMINISTRATIVE

Copies of this report are being furnished to AUSA WALKER, SDNY who is handling the criminal matter and also a copy is being furnished to AUSA ROOSEVELT, SDNY, who is handling the miscellaneous - civil suit.

LEADS

LOUISVILLE

AT LONDON, KENTUCKY 1. Will follow and report removal of FRANCIS PETER CROSBY.

NEW YORK

AT NEW YORK, NEW YORK. 1. Will follow this matter with AUSA's WALKER and ROOSEVELT, SDNY.

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to: 1-USA, SDNY (ATTN: AUSA WALKER)
1-USA, SDNY (ATTN: AUSA ROOSEVELT)

Report of: [REDACTED]
Date: 6/20/74

Office: New York, New York

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Field Office File #: 46-6700

Bureau File #: 46-51211

Title: [REDACTED]
FRANCIS PETER CROSBY

Character: MISCELLANEOUS - CIVIL SUIT
FEDERAL LENDING AND INSURANCE AGENCIES
SMALL BUSINESS INVESTMENT COMPANY

Synopsis AUSA, JAMES F. COOK, EDKY, Lexington, Kentucky,
stated motion in USDC, EDKY was filed by FRANCIS PETER
CROSBY on 4/15/74, for a writ of habeas corpus or in the
alternative bail for CROSBY and that motion was overruled.

-P-

DETAILS

The following investigation was conducted by
Special Agent (SA) [REDACTED] at Lexington, Kentucky.

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[REDACTED] the facts regarding the Harboring
violation as pertained to JOHN GEORGE BROADY were presented to
a Federal Grand Jury (FGJ), Lexington, Kentucky, and no true
bill was returned.

On April 19, 1974, Assistant United States Attorney
(AUSA) JAMES F. COOK, Eastern District of Kentucky (EDKY),
Lexington, Kentucky stated a motion in the United States District
Court (USDC), EDKY was filed by FRANCIS PETER CROSBY on April
15, 1974, for a writ of habeas corpus or in the alternative
bail for CROSBY and that motion was overruled.

On May 14, and June 12, 1974, Assistant's of the
AUSA's JOHN WALKER and CHRISTOPHER ROOSEVELT, Southern District
of New York (SDNY) were advised that FRANCIS PETER CROSBY is
still in the EDKY awaiting his removal to New York. Mr. WALKER
stated that he had been in contact with CROSBY's attorney and
requested he be notified as soon as Mr. CROSBY is removed from the
EDKY.

- 1* -

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE SEP 19 1974	INVESTIGATIVE PERIOD 7/22/74 - 9/16/74
TITLE OF CASE ET AL		REPORT MADE BY [REDACTED]	TYPED BY dyc b6 b7C
		CHARACTER OF CASE MISCELLANEOUS - CIVIL SUIT; FEDERAL LENDING AND INSURANCE AGENCIES - SMALL BUSINESS INVESTMENT COMPANIES	

REFERENCENYrep of SA **[REDACTED]** dated 7/25/74.b6
b7C

-P-

LEADNEW YORK

AT NEW YORK, NEW YORK. Will maintain contact with AUSA, SDNY re this matter.

M!

ACCOMPLISHMENTS CLAIMED				<input checked="" type="checkbox"/> NONE	ACQUIT-TALS	CASE HAS BEEN: PENDING OVER ONE YEAR <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO PENDING PROSECUTION OVER SIX MONTHS <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
CONVIC.	FUG.	FINES	SAVINGS	RECOVERIES		
APPROVED <i>[Signature]</i>				SPECIAL AGENT IN CHARGE		DO NOT WRITE IN SPACES BELOW
COPIES MADE:						46-51211-105
③ - Bureau (46-51211) 1 - USA, SDNY (ATTN: AUSA WALKER) 1 - USA, SDNY (ATTN: AUSA ROOSEVELT) 2 - New York (46-6700)						REC-20
1 xerox copy made						
Dissemination Record of Attached Report				Notations		
Agency	1-SBA					
Request Recd.	2-RAO					
Date Fwd.				PGM: <i>[Signature]</i> 10/27/74		
How Fwd.						
By						

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to: 1 - USA, SDNY (ATTN: AUSA WALKER)
1 - USA, SDNY (ATTN: AUSA ROOSEVELT)

Report of: [REDACTED] Office: New York, New York b6
Date: SEP 19 1974 b7C

Field Office File #: 46-6700 Bureau File #: 46-51211

Title: [REDACTED]
ET AL

Character: MISCELLANEOUS - CIVIL SUIT; FEDERAL LENDING AND
INSURANCE AGENCIES - SMALL BUSINESS INVESTMENT COMPANIES

Synopsis: AUSA, SDNY advised that FRANCIS PETER CROSBY was
afforded a psychiatric examination at Danbury, Connecticut
and has been returned to New York, New York on 9/3/74. Subject
presently incarcerated in West Street jail, New York, New York
and is awaiting sentencing. No date of sentencing has been set.

-P-

DETAILS:

On July 22 and August 20, 1974, contacts were made with
Assistant United States Attorney (AUSA) JOHN WALKER, Southern
District of New York (SDNY) who advised that the court had ordered
a psychiatric examination be afforded to FRANCIS PETER CROSBY.

On September 16, 1974, Mr. WALKER advised that Mr.
CROSBY was afforded a psychiatric examination at Danbury,
Connecticut and has been returned to the West Street jail where
he is presently incarcerated. Mr. WALKER advised that he has
not read the results of the psychiatric examination and he
also further stated that the date of sentencing of the subject
has not been set. Mr. WALKER stated that it was his opinion
that Mr. CROSBY would be sentenced in the very near future.

-1*-

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE 10/20/74	INVESTIGATIVE PERIOD 10/15-11/1/74
TITLE OF CASE ET AL		REPORT MADE BY [REDACTED]	TYPED BY lmm b6 b7C
		CHARACTER OF CASE MISCELLANEOUS-CIVIL SUIT; FEDERAL LENDING AND INSURANCE AGENCIES-SMALL BUSINESS INVESTMENT COMPANIES	

REFERENCE:NYrep of SA **[REDACTED]** 9/19/74.

-C-

ENCLOSURES:

To the Bureau (1)

Enclosed for the Bureau is one disposition sheet
re subject FRANCIS PETER CROSBY.

ACCOMPLISHMENTS CLAIMED					<input type="checkbox"/> NONE	ACQUIT- TALS	CASE HAS BEEN:
CONVIC.	FUG.	FINES	SAVINGS	RECOVERIES			
1		\$15,000					PENDING OVER ONE YEAR <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO PENDING PROSECUTION OVER SIX MONTHS <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
APPROVED <i>[Signature]</i>		SPECIAL AGENT IN CHARGE		DO NOT WRITE IN SPACES BELOW			
COPIES MADE:		3- Bureau (46-51211) (Encls. 1)		46-51211-106			
		1- USA, SDNY (Attn: AUSA WALKER)					
		1- USA, SDNY (Attn: AUSA ROOSEVELT)					
		1- New York (46-6700)					
		1 - <i>hand copy made</i>					
Dissemination Record of Attached Report						Notations	
Agency	1-SBA						
Request Recd.	2-RAD						
Date Fwd.							
How Fwd.							
By							

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

1- USA, SDNY (Attn: Assistant United States Attorney
WALKER)
1- USA, SDNY (Attn: Assistant United States Attorney
ROOSEVELT)

Copy to:

Report of:

Date:

NOV 20 1974

Office: New York, New York

b6
b7C

Field Office File #:

46-6700

Bureau File #: 46-51211

Title:

ET AL

Character:

MISCELLANEOUS-CIVIL SUIT;
FEDERAL LENDING AND INSURANCE AGENCIES-
SMALL BUSINESS INVESTMENT COMPANIES

Synopsis:

AUSA, SDNY advised that FRANCIS PETER CROSBY was sentenced by United States District Judge HAROLD TYLER, SDNY, 11/1/74, to serve two years on count 1 pursuant to the jury who returned a verdict of guilty on a 7 count indictment charging violation of Title 18, Section 371. Subject was fined \$3,000 in connection with count 1. Counts 2 through 7, CROSBY was sentenced to 5 years but the sentence was suspended and was placed on probation upon completion of sentence in violation of Title 18, USC, Sec 657. CROSBY was fined \$2,000 on each count for a total of \$12,000. The combined total for count 1 through count 7 subject received fines totaling \$15,000.

-C-

STATISTIC
JAN 7 4 21 PM '75
DATA PROCESSING SECTION

DETAILS:

On October 15, 1974, Assistant United States Attorney (AUSA) JOHN WALKER advised that FRANCIS PETER CROSBY appeared before United States District Judge HAROLD R. TYLER, Southern District of New York (SDNY), and entered a plea of guilty to bond default a charge which was for failure to surrender for service of sentence in connection with Title 18, United States Code (USC), Sections 657 and 371 when a bench warrant was issued for his arrest on December 27, 1971. Mr. WALKER advised that FRANCIS PETER CROSBY was scheduled for sentencing on November 1, 1974.

NY 46-6700

On November 1, 1974, Mr. WALKER advised that Mr. CROSBY appeared in the United States District Court, SDNY, before United States District Judge HAROLD R. TYLER, at which time the following action was taken:

Pursuant to a jury trial which returned a verdict of guilty on February 19, 1971, against Mr. CROSBY in connection with a 7 count indictment charging the subject with Title 18, USC, Sections 657 and 371, it was the judgment of the court that the subject serve two years in prison on count 1 in violation of Title 18, USC, Section 371. The subject was fined \$3,000 in connection with count 1.

Counts 2 through 7, Judge TYLER advised that he was sentencing the subject to five years but the sentence was suspended and the subject was placed on probation for a period of five years upon completion of his sentence in violation of Title 18, USC, Section 657. On counts 1 through 7/^{fines} amounted to \$15,000.

Judge TYLER further advised that in connection with the bond default that had been issued based on a substantive violation in view of subjects failing to surrender, the service of sentence, this charge was dismissed due to the fact that the subject was apprehended on December 12, 1973, and to the present time has been in federal custody. Judge TYLER felt that this was sufficient time spent in jail for his failure to surrender for service of sentence and no further action was taken in connection with this matter.

ny

9-28-65

JOHN G. BROADY
FPC
Bufile 163-12533

Rebulet 9-17-65.

A search of Bureau files revealed numerous references available to NY which may be identical with subject of inquiry from Legat, Bern.

Since NY Files [] 139-10 and 139-2, appear to be identical with subject, you should submit appropriate characterization of subject in LHM form suitable for dissemination to []

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b7E

UNITED STATES GOVERNMENT

Memorandum

SEP 23 1965

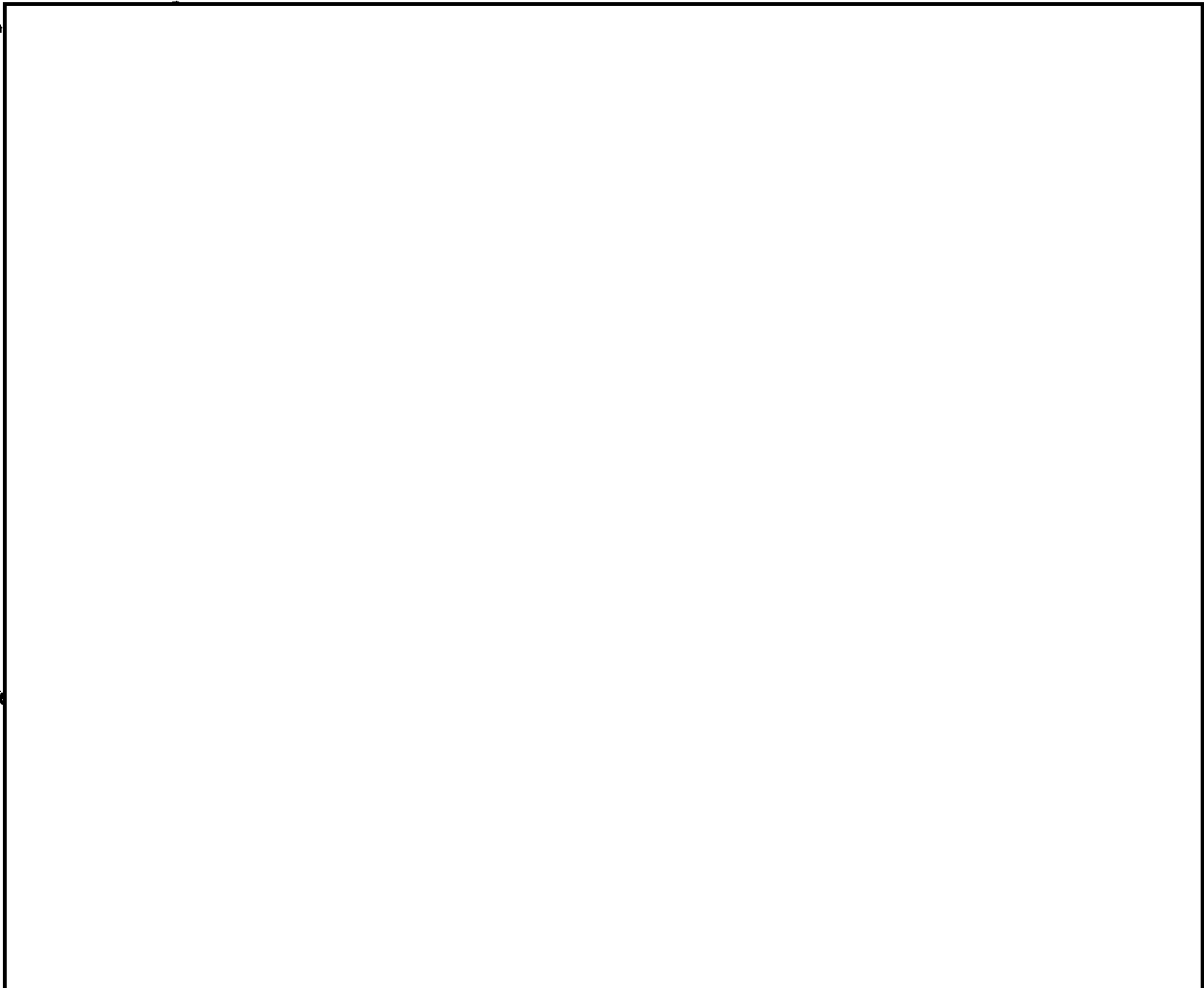
R-617

TO : Director, FBI

DATE: 9/8/65

FROM : Legat, Bern (163-440) (P)

SUBJECT: JOHN G. BROADY,
aka Steve
FPC



b7D

EXP-PROC

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b7E

40

- 5 - Bureau
(1 - Liaison)
(2 - New York)
1 - Bern

JCFM:mls
(6)

39 NOV 5 1965

EX 105

20
2 SEP 16 1965

LIASON
NAME CHECK

To New York
2 cc by 5-34
9/14/65 Not/ PAM

BE 163-440

b7D

[REDACTED]

[REDACTED]

[REDACTED] have asked us to identify BROADY and furnish any information known or which can be obtained about him. They would also like a photograph and fingerprints.

b7D

REQUEST TO BUREAU

Search of Bureau indices for any information which may be of value to New York.

LEAD

NEW YORK

Conduct credit and criminal and use any other sources available to identify subject particularly with respect to his birth data and personal particulars.

Verify reported violation of the law and prison sentence if it occurred in New York.

Since BROADY allegedly was a licensed private detective he should be on record with the Police Department and a photograph and fingerprints should be available. Secure copies.

After completion of inquiries furnish Bureau birth data and fingerprints requesting Bureau to re-search indices if original search negative. Also request Bureau to search fingerprints in the Identification Division.

Federal Bureau of Investigation
Records Branch.

, 19__

☐ Name Searching Unit - Room 6527☒ Service Unit - Room 6524☒ Forward to File Review☐ Attention☒ Return to Flemister 649RB
Supervisor Room Ext.

Type of References Requested:

☐ Regular Request (Analytical Search)☒ All References (Subversive & Nonsubversive)☐ Subversive References Only☐ Nonsubversive References Only☐ Main _____ References Only

Type of Search Requested:

☐ Restricted to Locality of _____☐ Exact Name Only (On the Nose)☐ Buildup ☐ VariationsSubject Broady, John H.

Birthdate & Place _____

Address _____

Localities _____

By 617 Date 9/24 Searcher Initials 146

Prod. _____

156 **SEP 23 1965**

FILE NUMBER

SERIAL

b3

b7E

139-12139-149**SEP 27 1965**163-125.33A TT9-34771-39-41596-14531-68496-241, 24555-678-258-4044-331, 377, 392 p 24, 3162162-12114-A - New York Times23 Oct 49 Substantive Memo (no date)62-12114-A - N.Y. Herald Tribune(no date or program on card)62-12114-A - Washington Post3/13/49

NUMEROUS REFERENCE

SEARCH SLIP

Subj: Brondy, John M.

Supervisor _____ Room _____

R# (617) Date 9/24 Searcher Initial 146Prod. 15h **SEP 23 1965**FILE NUMBERSERIAL

I	62-12114-A- <u>Times Herald</u> 3/15/49
I	62-12114-A- <u>N.Y. Brooklyn</u> <u>Eagle</u> 3/16/49
I	62-12114-A- <u>N.Y. News</u> 3/16/49
I	62-12114-A- <u>Washington Post</u> 3/18/49
I	62-12114-A- <u>N.Y. Sun</u> 3/19/49
I	62-12114-A- <u>N.Y. Post & Home</u> <u>News</u> 4/15/49
I	62-12114-A- <u>Washington Star</u> 4/17/49
I	62-12114-A- <u>New York Times</u> 4/17/49
I	62-12114-A- <u>New York Daily</u> <u>Mirror</u> 4/18/49
I	62-12114-A- <u>New York Sun</u> 4/19/49
I	62-12114-A- <u>New York Daily</u> <u>Mirror</u> 4/20/49
I	62-12114-A- <u>New York Journal</u> <u>American</u> 4/25/49

NUMEROUS REFERENCE

SEARCH SLIP

Subj: Broady, John M.

Supervisor _____ Room _____

R# (1017) Date 9/24 Searcher Initial 146

Prod. 11K

FILE NUMBER SEP 23 1965 SERIAL

- I 62-12114-A-Brooklyn Eagle
8/11/49
- I 62-12114-A-N.Y. Daily Mirror
8/4/49
- I 62-12114-A-New York Times
8/5/49
- I 62-12114-A-New York Times
8/12/49
- I 62-12114-A-New York Times
8/17/49
- I 62-12114-A-New York Times
8/18/49
- I 62-12114-A-New York Times
8/19/49
- I 62-12114-A-New York Daily
Mirror
8/19/49
- I 62-12114-A-New York Times
8/23/49
- I 62-12114-A-New York Times
8/25/49
- I 62-12114-A-New York Times
8/26/49

SEP 26 1965

(3)

NUMEROUS REFERENCE

SEARCH SLIP

Subj: Brady, John M.

Supervisor _____ Room _____

R# 61D Date 9/24 Searcher Initial 146Prod. 14hFILE NUMBER SEP 23 1965 SERIALI 62-12114-A-New York News

9/2/49

I 62-31615-912, 968 II 62-36434-A-James Herald

2/19/53

I 62-36434-A-James Herald

2/20/53

I 62-75147-31-102 Ep # 35I 62-75147-34-95 Ep # 39, 40,I 230 Ep # 146I 235 Ep # 182, 183,
184I 62-75147-34-A-New York

Herald Tribune 3/13/49

I 62-75147-34-A-Journal

American 3/13/49 1965

I 62-75147-34-A-N.Y. Post

and Home News 3/13/49

I 62-75147-34-A-NY News

3/13/49

I 62-75147-34-A-New York

Journal American 3/14/49

NUMEROUS REFERENCE

SEARCH SLIP

Subj: Broady, John D.

Supervisor

Room

R#

Date

9/24

Searcher

Initial 146

Prod.

11K

FILE NUMBER

SEP 23 1965

SERIAL

62-75147-34-A-New York
Post and Home News 3/14/49

62-75147-34-A N.Y. World
Telegrams 3/14/49

62-75147-34-A New York
Brooklyn Eagle 3/14/49

62-75147-34-A Washington
Times-Herald 3/15/49

62-75147-34-A-Washington
Post 3/15/49

62-75147-34-A The Evening
Star 3/15/49

62-75147-34-A New York
Sun 3/15/49

62-75147-34-A N.Y. Brooklyn
Eagle 3/15/49

62-75147-34-A New York
Herald Tribune 3/15/49

62-75147-34-A New York
Herald Tribune 3/15/49

62-75147-34-A New York
Post and Home News 3/15/49

(5)

NUMEROUS REFERENCE

SEARCH SLIP

Subj: Bready, John M.

Supervisor _____ Room _____

R# 617 Date 9/24 Searcher Initial 146Prod. 11h

FILE NUMBER

SEP 23 1965

SERIAL

<u>I</u>	62-75147-34-A	N.Y. Daily	
		Mirror	3/16/49
<u>I</u>	62-75147-34-A	The Evening	
		Star	3/16/49
<u>I</u>	62-75147-34-A	N.Y. Sun	
			3/16/49
<u>I</u>	62-75147-34-A	New York	
		Journal American	3/16/49
<u>I</u>	62-75147-34-A	N.Y. Sun	
			3/17/49
<u>I</u>	62-75147-34-A	New York	
		Sun	3/17/49
<u>I</u>	62-75147-34-A	N.Y. Journal	
		American	3/17/49
<u>I</u>	62-75147-34-A	New York Post	
		and Home News	3/17/49
<u>I</u>	62-75147-34-A	New York	
		News	3/17/49
<u>I</u>	62-75147-34-A	Washington	
		Daily News	3/18/49
<u>I</u>	62-75147-34-A	N.Y. Sun	
			3/24/49

(6)

NUMEROUS REFERENCE

SEARCH SLIP

Subj: Bready, John M.

Supervisor (61) Room

R# Date 9/24 Searcher Initial 146

Prod. 17h

FILE NUMBER SEP 23 1955 SERIAL

- I 62-75147-34-A - New York Journal American 3/24/49
- I 62-75147-34-A - Post & Home News 3/24/49
- I 62-75147-34-A N.Y. News 3/24/49
- I 62-75147-34-A N.Y. World Telegram, 3/24/49
- I 62-75147-34-A New York Journal American 8/8/49
- I 62-75147-34-A N.Y. Post & Home News 10/27/49
- I 62-75147-34-A NY Daily Mirror 8/16/49
- I 62-102018 SEP 7 1955 New York Telegram and Sun 11/29/55
- I 63-4296-34-95, 540
- I [Redacted Box]
- I 87-26911-103, 204
- I 94-2-23011
- I [Redacted Box]

b3
b7E

NUMEROUS REFERENCE

SEARCH SLIP

Subj: Broady, John H.

Supervisor _____ Room _____

R# (67) Date 9/24 Searcher Initial 146Prod. 2/LFILE NUMBERSEP 23 1965

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100-1202-21, 48100-57453-153100-127094-131100-344488-222100-347473-8100-353709-919100-375346-1171, 1172, 11781214p#18, 20, 29, 30

(8)

NUMEROUS REFERENCE

SEARCH SLIP

Subj: Brady, John M.

Supervisor _____ Room _____

R# AD Date 9/24 Searcher Initial 146

Prod. 251

FILE NUMBER **SEP 23 1965** SERIAL

- 100-375346-1263, 1271, 1272,
- 1282E, 32 testimony
- 1306, 1311 p#5,
- 1332 p#8, 9, 16
- 1355 p#2
- 100-381287-3
- 101-3667-11 p#8
- 139-172-16
- 139-242-63 p#6
- SEP 27 1965**
- 139-243-45 p#15
- 139-267-13, 46 p#3
- John J. (rev.)
- 32-2380-5551
- 62-31615-955
- John M. (rev.)
- 62-12114-A-NY Times 9/1/49
- 62-12114-A-New York Times
- 9/2/49
- (9)

NUMEROUS REFERENCE

SEARCH SLIP

Subj: Broady, John M.

Supervisor (67) Room

R# (67) Date 9/24 Searcher Initial 146

Prod. 22h

FILE NUMBER **SEP 23 1965** SERIAL

	<u>John Steue</u>	<u>(over)</u>
	<u>SI</u>	
<u>NR</u>	<u>John</u>	
<u>I</u>	<u>46-33534</u>	
<u>I</u>	<u>9-34771-9</u>	
<u>I</u>	<u>31-68496-201, 244</u>	<u>b3</u> <u>b7E</u>
<u>I</u>		
<u>I</u>		
<u>I</u>		
<u>I</u>	<u>100-375346-1214, 27, 31</u>	
<u>I</u>	<u>1269, 1332, 26, 28</u>	
<u>I</u>		
<u>I</u>		
<u>I</u>	<u>109-12-217-182 Ep#9</u>	
<u>I</u>	<u>139-175-1</u>	
<u>I</u>	<u>139-243-1, 90</u>	
<u>NR</u>	<u>140-0-57152</u>	
<u>NR</u>	<u>John Mroz</u>	<u>(over 5)</u>
<u>NR</u>	<u>88-2075-2</u>	<u>MR R617</u> <u>(10)</u>

NUMEROUS REFERENCE

SEARCH SLIP

Subj: Bready, John H.

Supervisor _____ Room _____

R# 61 Date 9/24 Searcher Initial 146Prod. 81

FILE NUMBER

SEP 23 1965

SERIAL

John C.

(var)

SE

John E.

(var)

SE

J. H.

62-62736-6-65

J.

100-346293-8

Stene

(AKA)

47-41744

R-617

62-12114-A - N.Y. Fact & Home

News 4/12/49

70-7341-26

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261008

H
(11)

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION
 WASHINGTON, D.C. 20537

10-26-65
 (514 RLT)

J. Edgar Hoover
 Director.

The following FBI record, NUMBER 181 004 A, is furnished ~~FOR OFFICIAL USE ONLY.~~

CONTRIBUTOR OF FINGERPRINTS	NAME AND NUMBER	ARRESTED OR RECEIVED	CHARGE	DISPOSITION
Captain of the Port New York New York	John George Broady #031519925 Buff	identification card July 25, 1942		
Police Department New York New York	John G. Broady #274161	May 2, 1955	conspiracy- illegal wire tapping- possession of wire tap equipment	
Probation Department Court of General Sessions New York New York	John G. Broady #71069	May 2, 1955	1322 1/2-55 by Verdict conspiracy count #1 580 Penal Law 552A (2 counts) 1423 (Subdivision 6 Penal Law) 13 counts	
Sing Sing Prison Ossining New York	John G. Broady #118532	January 16, 1956	Verdict violation Section 1423 Penal Law Subdivision 6 (4 counts)	1-0/2-0 on 3 counts concurrent 1-0 '2-0 on other count consecutive
Probation Department Court of General Sessions New York New York	John G. Broady #71069	finger-printed February 17, 1960	(1) conspiracy (8) violation Section 743/2 Penal Law (9) violation Section 743/2 Penal Law	pleaded guilty

File 5-111

Information shown on this Identification Record represents data furnished FBI by fingerprint contributors. Where final disposition is not shown or further explanation of charge is desired, communicate with agency contributing those fingerprints.

Notations indicated by * are NOT based on fingerprints in FBI files but are listed only as investigative leads as being possibly identical with subject of this record.

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION
WASHINGTON, D.C. 20537

10-26-65
(514 RLT)

2

J. Edgar Hoover
Director.

The following FBI record, NUMBER 181 004 A , is furnished ~~FOR OFFICIAL USE ONLY.~~

CONTRIBUTOR OF FINGERPRINTS	NAME AND NUMBER	ARRESTED OR RECEIVED	CHARGE	DISPOSITION
Federal Detention Headquarters New York New York	John G. Broady #H14804	September 20, 1960	"S" New York: Writ Habeas Corpus "Ad Pros" from Auburn Prison New York (income tax evasion) no bail United States Deputy Marshall	
United States Marshall New York New York	John G. Brody	November 19, 1963	violation of Income Tax Laws	
Federal Detention Headquarters New York New York	John G. Broady #14804	November 19, 1963	Income Tax violation	

Information shown on this Identification Record represents data furnished FBI by fingerprint contributors. Where final disposition is not shown or further explanation of charge is desired, communicate with agency contributing those fingerprints.

Notations indicated by * are NOT based on fingerprints in FBI files but are listed only as investigative leads as being possibly identical with subject of this record.

UNITED STATES GOVERNMENT

Memorandum

TO : DIRECTOR, FBI
(ATTENTION: LIAISON SECTION)

DATE: 10/18/65

FROM : SAC, NEW YORK (163-1478)

SUBJECT: JOHN G. BROADY, aka
FPC

ReBulet to NY, 9/17/65.

Enclosed herewith are the original and five copies of a letterhead memorandum suitable for dissemination in this matter. Also enclosed are four photographs of BROADY and four copies each of four newspaper articles regarding BROADY. It is suggested that the Bureau may wish to furnish copies of these articles to the Legat, Bern.

BROADY has FBI # 181004A and NYCPD # B274161. It is requested that the Bureau furnish copies of BROADY's Identification Record to the Legat, Bern, as well as more current photographs if available.

The source referred to in the LHM regarding [redacted]

- ④ - Bureau (Encls. 14)
(1 - Liaison Section)
1 - New York (163-1478)

ECS:mzg
(5)

ENCLOSURE

ENCLOSURE ATTACHED

EX 110

REC-47

163-12533-2

11-2
18 OCT 21 1965

Bern advised all pertinent info in Bufile included in my LHM.

4 items
LHM



NOV 5 1965

Buy U.S. Savings Bonds Regularly on the Payroll Savings Plan



UNITED STATES DEPARTMENT OF JUSTICE

FEDERAL BUREAU OF INVESTIGATION

New York, New York
October 18, 1965

In Reply, Please Refer to
File No.

Re: John G. Broady

A background summary on John G. Broady, prepared in 1959, reflected that Broady was an internationally known private detective who resided at 110 Riverside Drive, New York City. He maintained offices at 19 Rector Street, New York City. He was a graduate of Columbia University, Law School.

Broady had been operating as a lawyer-private detective for many years and was alleged to be the private detective who had the greatest success in securing results for his clients.

His clients ranged from giant corporations to highly placed individuals and socialites. In conducting investigations for business organizations, Broady's activities were aimed towards securing information on executives of the firm or towards getting data on competing corporations.

In the past, Broady had retained several private investigators to conduct leg work for him in both the United States and foreign countries.

Broady was not known to have any technical background and utilized the services, either full or part time, of persons with technical experience in installing wire taps and other electronic devices.

Broady also used sources within the telephone company to obtain unlisted numbers, pair and cable numbers and other confidential data to assist him in conducting investigations.

During February, 1955, Broady was the key figure in a wire tap operation being conducted from an apartment in New York City. He was tried in New York State Court in 1955 and convicted. The trial received considerable publicity and many prominent names entered into it.

163 - 11533 - 2

ENCLOSURE

The conviction was upheld on appeal and on January 4, 1960, Broady began serving a two to four year sentence.

As a result of the conviction, Broady was disbarred as a lawyer and his private detective license was revoked. As a result it was indicated that he had cut down on his activities in the investigative field. However, it was also reported that either Broady or someone operating in his behalf had been active in conducting investigations.

A credit report dated in December, 1957, reflected that John G. Broady resided at 110 Riverside Drive, New York City, and was self employed with an office at 19 Rector Street, New York City. He was described as in his late forties or early fifties, married and father of two children.

He had been residing at the given address for over 15 years and was paying a rental of \$200 per month.

The report reflected that Broady was in business for himself as a private detective and was considered one of the top investigators in the field. His income was believed to be substantial.

The report stated that Broady was a graduate of Ohio State University and Columbia University Law School. He was disbarred from the New York State Bar as a result of a wiretapping conviction.

His bank was given as Chase National Bank, 26 Broad Street, New York City.

The file reflected a suit against Broady on June 12, 1951, by the New York Telephone Company for \$2107.73.

A newspaper clipping in the file from the "New York Daily News," September 13, 1960, reflected that

Broady had been indicted in New York City for evasion of \$62,285 in income tax for the years 1953 and 1954.

The article reflected that Broady was then in Auburn State Prison, serving two to four years on a wiretapping conviction. His age was given as 61.

b7D



The records of the Bureau of Criminal Identification, New York City Police Department, reflected the following arrest record for John G. Broady under Number B274161:

Date of Arrest	Name	Borough or City	Charge	Arresting Officer	Date, Disposition, Judge and Court
4/12/49	John Broady	Manhattan	Conspiracy and wire tapping	Phillips	Dismissed. General Sessions
4/19/49	John Broady	Manhattan	Conspiracy and wire tapping; grand larceny	Baker	4/21/51; dismissed, General Sessions 4/26/51, discharged.
12/7/51	John Broady	Manhattan	assault	Sweeney 20th Squad	2/24/54, fined \$200, 30 days, Special Sessions.

Date of Arrest	Name	Borough or City	Charge	Arresting Officer	Date, Disposition Judge and Court
5/2/55	John Broady	Manhattan	Conspiracy and possession wire tapping equipment	Hinda	1/13/56; 1 to 2 years General Sessions.
2/18/60	John Broady	Manhattan	Conspiracy 743 Penal Law		General Sessions 2/17/60 Conspiracy 743 Penal Law

ENCLOSURES TO BUREAU

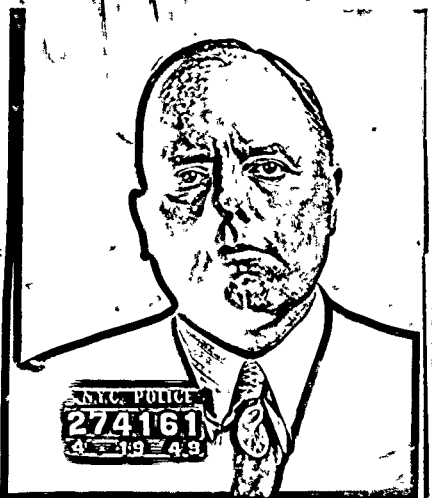
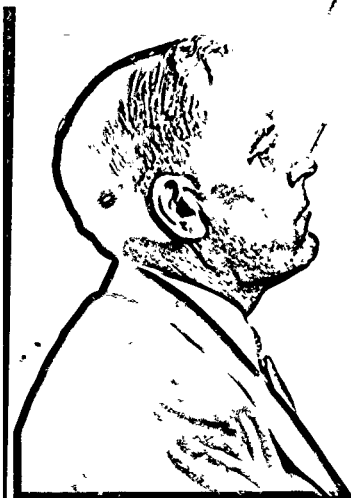
FOUR PHOTOGRAPHS OF
JOHN G. BROADY;
FOUR NEWSPAPER ARTICLES
REGARDING JOHN G. BROADY.

NY 163-1478



123
163-12533-2

ENCLOSURE



John G. Broady
Photos taken, 1955

JOHN G BROADY

Date of photo -
April, 1949

NY 163-1478

NY - 163-1478

On Pfizer's Tetracyclin

**Drug Firm Paid Broady
\$60,000 to Check Leak**

Charles F. Pfizer & Co. paid John G. (Steve) Broady \$60,000 to find out if secret information about a wonder drug was leaking out to competitors, it was disclosed yesterday at Broady's wire tap-conspiracy trial in General Sessions.

Robert C. Porter, general counsel and secretary to the Pfizer concern, told Assistant District Attorney Harold Birns that the money covered the period from October, 1954, to last

March, and that Broady reported that he could not find any leaks about the drug, Tetracyclin.

Mr. Birns brought out this testimony in an effort to show that Broady had illegally tapped the wires of E. R. Squibb & Sons and Bristol-Myers Co. According

to the testimony, Pfizer filed early this year a \$50,000,000 Federal suit for alleged infringement of copyright against Bristol Laboratories, Squibb and Upjohn, another drug house.

CLIPPING FROM THE
N.Y. HERALD TRIBUNE
N. Y.

DATED, DEC. 2, 1955
FORWARDED BY N. Y. DIVISION.

rec 2 p 1 Late City

40G Fee to Broady For Drug Tap Dared

John G. (Steve) Broady, combination attorney-sleuth-wiretapper, charged a drug company \$60,000 to find out whether employees were leaking information about a wonder drug to rival companies, it was testified yesterday at Broady's wiretap conspiracy trial.

Robert C. Porter, of Chatham, N. J., an official of Charles Pfizer & Co., manufacturing chemists, admitted under cross-

examination that he thought the charge was reasonable. He said he paid Broady \$50 a day for each investigator on the case, and \$100 for every toll list showing long distance calls made by certain Pfizer employees.

They Met In Autos

He never got a bill, Porter added, and usually met Broady in autos near the entrance to the Holland Tunnel, en route home. Porter was called by the prosecution to support charges that Broady illegally tapped the wires of E. R. Squibb & Sons and Bristol-Myers Co.

Porter testified that he asked Broady to investigate some employees, including a group of 50 in Groton, Conn., to determine with whom they associated and whether they were living within their incomes.

The money was paid to Broady through an intermediary, he told General Sessions Judge Jonah J. Goldstein and an all-male jury.

The trial resumes at 10:30 A.M. today.

CLIPPING FROM THE

N.Y. NEWS

N. Y. _____
DATED DEC 2 1955
FORWARDED BY N. Y. DIVISION

ps *Gina*

Broady Found Guilty In Wiretapping Case

John G. (Steve) Broady was convicted last night on sixteen counts relating to a wiretapping conspiracy here. Sentencing was set for Jan. 13.

After three hours and nine minutes of deliberation an all-male, blue-ribbon jury convicted the wiretap expert on eleven of twelve specific telephone tapping counts, on a conspiracy count, on two counts of unlawful possession of wiretap equipment, and on two counts of unlawful use of premises for wiretapping.

Broady faces a possible sentence of twenty-seven years imprisonment. His lawyers, Harris B. Steinberg and Sol Gelb, said the conviction would be appealed.

The wiretap trial went to the jury at 3:42 P. M. yesterday. The panel got the case in General Sessions Court after

Continued on Page 56, Column 7.

BROADY IS GUILTY IN WIRETAP CASE

Continued From Page 1.

a four-hour charge by Judge Jonah J. Goldstein.

Mr. Gelb took thirteen minutes making exceptions after the jurist had finished his charge. He held that Judge Goldstein's charge was "unduly lengthy, prolix and confusing."

He said, further, that the judge in marshaling the facts for the jury had been "unfair and one-sided" and had "left out significant pieces of testimony favorable to the defendant and gave a recital that was not accurate."

Broady, 52-year-old attorney and private investigator of 110 Riverside Drive, was accused as the "prime mover" in a wiretap conspiracy here.

Originally he was indicted on twenty counts of violating the law. Three counts were dismissed by Judge Goldstein.

Judge Goldstein told the jury

that if the defendant should be found not guilty on the conspiracy count, he should be acquitted on all the other charges.

The taps, it was charged, were made between September, 1953, and February of this year. On Feb. 11 detectives and telephone company employees raided an apartment at 360 East Fifty-fifth Street, which was used as a wiretap center.

The apartment was leased in the name of Warren B. Shannon, a freelance electrician. But Shannon testified at the trial that he had taken the apartment under the direction of Broady to be used as an electronic eavesdropping office.

Shannon and Carl Ruh, a dismissed telephone company employee, were named as co-conspirators in the case and pleaded guilty to conspiracy and illegal wiretapping. Both are awaiting sentence. Ruh also testified at the trial that Broady had hired him to make taps.

Throughout the trial Broady maintained that he never had tapped a telephone line illegally. He added that any tap he had authorized was made with the knowledge and at the request of the telephone subscriber.

CLIPPING FROM THE

N. Y. TIMES

N. Y.

DATED DEC 9 1955

FORWARDED BY N. Y. DIVISION

p1 Late City

Broady Sentenced to 2-4 Years; Judge Hits 'Dirty' Wiretapping

Conviction to Bar Defendant
From Practicing Law and
Operating as Detective

John G. (Steve) Broady, convicted as the man behind a wiretap conspiracy here, was sentenced yesterday to serve two to four years in a state prison.

Broady, who is 52 years old and lives at 110 Riverside Drive, showed no emotion as he heard the sentence pronounced by General Sessions Judge Jonah J. Goldstein. He remained unemotional, too, when Judge Goldstein recounted how the defendant had participated in and procured others to carry on the dirty business of illegal wiretapping for pay.

An attorney and private investigator, Broady was found guilty last Dec. 8 by a blue-ribbon jury on sixteen of seventeen counts relating to the wiretap conspiracy. The telephones of more than a dozen prominent persons and business concerns had been tapped.

Judge Goldstein ordered that Broady serve one to two years on each of two counts; the terms to run consecutively. He also ordered terms of one to two years on two other counts, the sentences to run concurrently with the first two terms. He suspended sentence on the remaining counts.

"In my many years as a judge," he said, "I have made it a rule not to excoriate defendants when imposing a prison sentence. However, the public interest requires some comment concerning this case.

"The defendant, under the guise of practicing law, operated as a 'private eye,' and while so engaged, he participated in and procured others to carry on the dirty business of illegal wiretapping for pay.

"Illegal wiretapping is a slimy activity, which directly and adversely affects our social and economic life. It cannot be condemned too strongly.

"This conviction will bring other serious punishments in addition to the sentence that the Court will impose. The conviction will deprive him of his license to practice law and will also bar him again from obtaining a license to be a private detective."

Assistant District Attorney



Associated Press
John G. Broady before he was sentenced yesterday.

Aloysius J. Melia, who conducted the prosecution with Assistant District Attorney Harold Birns, told the Court, prior to sentence, that the gravity of Broady's crimes was "enormous."

"Homes and businesses have been seriously disrupted," Mr. Melia said. "The people of the community are greatly alarmed and shocked at the brazen and ruthless invasion of the privacy of individuals by this defendant."

"The defendant is an attorney. He prostituted a noble profession by seeking to cloak his wiretapping activities under the mantle of his attorney's license, although he was more an attorney in name than in fact. In his desperate effort to hoodwink the jury, for two days he poured forth a continuous stream of perjury.

"If we are to safeguard the civil rights of our citizens, including the sacred right to privacy, we must take a stern view of the crimes for which this defendant stands convicted."

Clendenin Ryan, financier and crime crusader, issued a statement defending Broady and attacking District Attorney Frank S. Hogan after Judge Goldstein had passed sentence.

CLIPPING FROM THE

N. Y. ~~N.Y. TIMES~~

DATED JAN 14 1956

FORWARDED BY N. Y. DIVISION

Page 38
Late City Edition

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

DECLASSIFICATION AUTHORITY DERIVED FROM:
FBI AUTOMATIC DECLASSIFICATION GUIDE
DATE 06-01-2018 BY: J12J92T64

~~SECRET~~

AIRTEL

DEC 12 1983

TO : DIRECTOR, FBI [REDACTED]

FROM : ADIC, NEW YORK [REDACTED]

SUBJECT: JOHN G. BROADY; [REDACTED]

(OO:NY)

~~This communication is classified "Secret" in its entirety.~~

ReSFairtel to the Bureau, dated 10/19/83. [REDACTED]

For information of San Francisco, NYO has determined the following information concerning subjects JOHN and [REDACTED] BROADY:

Personnel records of the NY Telephone Company failed to reflect any information showing employment by either subject.

Fisurs of subjects' residence, 110 Riverside Drive, Manhattan, have revealed that the BROADYS reside in Apartment 3A at the above address and have been there for a number of years. The apartment house is located in what could be described as an upper middle income area of NYC, and the rent in that area would be approximately \$2,000.00 a month and up. It has further

~~SECRET~~

Classified by G-3
fy on OADR

3-Bureau

(1- [REDACTED])

3-San Francisco

(1- [REDACTED])

3-New York

(1- [REDACTED])

(1- [REDACTED])

DAH:lrs

(10)

DEC 15 1983

b3
b6
b7C
b7E

b7E

b3
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b7E

b3
b7E

~~SECRET~~

[REDACTED]

been determined that JOHN BROADY had been out of the country for approximately three or four months, however, a pretext telephone call on 11/29/83, determined that he is now back in NYC.

[REDACTED]

b3
b7E

b6
b7C

Checks with the NY Department of Motor Vehicles have revealed that neither subject has a driver's license or a vehicle registered in their names.

Criminal records checks at the NYC Police Department have failed to reveal any information which would aid in the further identification of either subject.

Review of Credit Bureau records have failed to provide any significant information which would aid in the identification of either subject.

For further information of San Francisco [REDACTED]

[REDACTED]

b6
b7C

Telephone numbers 362-2250 and 362-2307, as well as [REDACTED] are nonlisted numbers.

Request for subscriber information concerning the nonlisted numbers has not yet been received and will be furnished to San Francisco upon their receipt by NYO.

~~SECRET~~

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

DECLASSIFICATION AUTHORITY DERIVED FROM:
FBI AUTOMATIC DECLASSIFICATION GUIDE
DATE 06-01-2018 BY: J12J92T64

~~SECRET~~

AIRTEL

APR 11 1984

TO : DIRECTOR, FBI [REDACTED]

FROM : ADIC, NEW YORK [REDACTED] (C) [REDACTED]

SUBJECT: JOHN G. BROADY;

[REDACTED]
(OO:NY)

~~This communication is classified "Secret" in its entirety.~~

ReSFairtel to the Bureau, dated 10/19/83, and NYairtel to the Bureau, dated 12/12/83.

For information of SF, NYO is providing the additional following information concerning JOHN and [REDACTED] BROADY:

The subscriber of non-published telephone numbers (212) 362-2250 and (212) 362-2307 is JOHN G. BROADY, 110 Riverside Dr., Apt. 3A, NY, NY. Both telephone numbers are auxiliary lines, and are billed to [REDACTED]

~~SECRET~~

Classified by G-3

③ - Bureau (RM)

(1- [REDACTED])

2 - San Francisco (RM)

(1- [REDACTED])

(1- [REDACTED])

3 - New York

(1- [REDACTED])

(1- [REDACTED])

53 JUN 8 1984

MMV:slb

(9)

4 APR 13 1984

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~~SECRET~~

b3
b7E

[redacted]
On 1/12/84, a pretext call [redacted]
[redacted] to JOHN BROADY at his residence revealed the
following information:

b7E

1. He is a consultant (no particular specialty stated).
2. He gives his age as 80 years old.
3. He stated that he just returned from Lebanon.
4. He was very evasive about his trip.
5. He stated he travels extensively.
6. He said he used to live in New Mexico.

NYO is considering case closed unless SF advises NYO
that further investigation is warranted.

-2-

~~SECRET~~

Office Memorandum • UNITED STATES GOVERNMENT

TO : F. L. PRICE *2/18/55* DATE: 2/18/55

FROM : A. ROSEN

*John G. Broady;**Charles Gris; Carl Rub*

SUBJECT:

UNCOVERING OF WIRE TAP SETUP

MANHATTAN, NEW YORK

UNAUTHORIZED PUBLICATION OR USE OF COMMUNICATIONS

*Walter C. Asmann**Warren B. Shannon*

Tolson _____
 Boardman _____
 Nichols _____
 Belmont _____
 Harbo _____
 Mohr _____
 Parsons _____
 Rosen _____
 Tamm _____
 Sizoo _____
 Winterrowd _____
 Tele. Room _____
 Holloman _____
 Gandy _____

With reference to the news commentator item concerning the alleged raid on a Manhattan apartment which turned up ten wire taps, the following information was furnished by Jack Danahy of our New York Office.

He stated there was an article appearing in the New York wire service which did relate to such a raid uncovering a big wire tap setup. (The New York Daily News Service item is attached hereto, appearing in the Washington Post and Times Herald, Friday, 2/18/55.)

Pursuant to our request, Mr. Danahy checked this matter and found that we do not have any complaints concerning this matter; that apparently the New York City Anti-Crime Commission under John O'Mara, the Executive Director (an ex-Agent) and his counsel, William J. Keating, is attributed as making the various comments which appeared in the news item. In substance, the statement reflects that the police found \$10,000 worth of electronic equipment in an apartment. They also allegedly discovered telephone men had, without authority, put a wire tap in covering "most telephones on Manhattan's East Side."

It is also noted that a telephone employee is allegedly getting \$35.00 a week for each wire tap and had a minimum of ten working for him at the time of the raid. It was also indicated that this alleged raid came as a result of certain disclosures in the Serge Rubinstein case wherein it had been indicated that one of his girl friends had been the subject of coverage by wire tap devices.

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 4
 Autostat
 b7D

cc - Mr. Nichols

AR:LS
(5)

ENCL. 4

Attachment

SE 44

RECORDED - 6

INDEXED - 6

13 FEB 24 1955

MAR 7 1955

PERS. FILES

Memorandum for Mr. Price

ACTION TAKEN

I advised Mr. Danahy to make discreet inquiries of b7D
on the basis that there may be some matter within
our jurisdiction under the statute giving us authority to
inquire into the unauthorized publication or use of
communications.

N. Y. Raid Uncovers Big Wiretap Setup

N. Y. Daily News Service

ALBANY, N. Y., Feb. 17.—A secret police raid on a Manhattan apartment that turned up 10 active wiretaps was reported to legislative leaders today by the New York City Anti-Crime Committee.

The raiders found two men and two women in the apartment, but no arrests were made. Two men, both telephone company employees, have been suspended from their jobs as a result, it was established.

William J. Keating, counsel to the Anti-Crime Committee, and John O'Mara, executive director, who have been advising Republican leaders on their proposed investigation of the wiretapping evil and the illegal use of electronic devices to pick up private conversations, made the report.

The Keating-O'Mara statement said the police found \$10,000 worth of electronic equipment in the apartment. They discovered the telephone company men had, without authority, bridged into a cable that would enable them to tap most telephones on Manhattan's East Side. Through the single operation, it was found, any telephone could be tapped in six exchanges, including three Plaza and one Murray Hill, one Eldorado and one Templeton exchange.

According to Keating and O'Mara, the telephone employee in charge of the elaborate setup was getting \$35 per week for each wiretap and had a minimum of 10 going for him at any time. He paid off the second employee, the Anti-Crime Committee said, at a flat \$35 a week.

The raid, according to the Anti-Crime Committee, was inspired by disclosures that Serge Rubinstein, the murdered playboy - financier - draft - dodger, made widespread use of wiretaps to get information for his financial manipulations and on his girl friends' boudoir activities.

*John b
Jan*
*Call to N.Y.
Memo to Mr. Boardman
2-18-55
AR*

139-149-1

ENCLOSURE

Office Memorandum • UNITED STATES GOVERNMENT

TO : Mr. Boardman

DATE: February 18, 1955

FROM : A. Rosen

SUBJECT: UNCOVERING OF WIRE-TAP SETUP, MANHATTAN, NEW YORK;
UNAUTHORIZED PUBLICATION OR USE OF COMMUNICATIONS

Tolson _____
Boardman _____
Nichols _____
Belmont _____
Harbo _____
Mohr _____
Parsons _____
Rosen _____
Tamm _____
 Sizoo _____
Winterrowd _____
Tele. Room _____
Holloman _____
Gandy _____

Wide publicity has been given to a raid in New York City which allegedly uncovered a big wire-tap setup. This is reflected in the "Washington Post and Times Herald" this morning, Friday, February 18, 1955.

Based upon this item, a copy of which is attached, inquiry was made of the New York Office to ascertain the nature of the raid and whether there was any information available indicating that the matter came within our jurisdiction.

I instructed Special Agent Danahy of the New York Office to contact, on a discreet basis and off the record,

[REDACTED]

[REDACTED]

[REDACTED]

(New York has information on this and will furnish it to us, and we will also check our files.

Charles Gris

[REDACTED]

[REDACTED]

AR:mfb
cc - Mr. Nichols
(7)
Attachment

RECORDED - 6
INDEXED - 6

139-149-2
18 FEB 21 1955

7 PERS. FILES

Memorandum for Mr. Boardman

b7D

[REDACTED]

Danahy states that the information on the persons involved was turned over by the police to District Attorney Hogan's office.

[REDACTED]

b7D

It is also noted the article indicates a telephone employee was allegedly getting \$35 a week for each wire tap and had a minimum of ten working for him at the time of the raid. It was also indicated that this alleged raid came as a result of certain disclosures in the ~~Serge~~ Rubinstein case wherein it had been indicated that one of his girl friends had been the subject of coverage by wire-tapping devices. *ML*

RECOMMENDATION:

This obviously is a matter within the purview of our jurisdiction under the wire-tap law, and under the circumstances, in view of this disclosure, it is recommended we go to the New York Telephone Company by direct approach and ask them to furnish us information concerning this matter.

From the information so far available, it appears the Telephone Company were checking on possible leaks in their own

Memorandum for Mr. Boardman

structure and did not realize what they were stepping into. They were working with the New York Police Department and had not reported this matter to the FBI. If there was an indication that the information obtained from telephone taps was being used unauthorizedly and the New York Telephone Company knew this to be true, it seems they should have also told the FBI about it.

However, before any recommendation is made, I believe we should obtain all of the facts, not only from the New York Telephone Company but also from Hogan's office and the New York Police Department, as this is a matter within our jurisdiction.

After all this information is obtained, we will immediately take the matter up with the Department in line with established procedure to determine the extent of the investigation which will be conducted based upon the facts which we ascertained.

I recommend, therefore, that we immediately contact the Telephone Company, Hogan's office, and the New York Police Department for all information concerning this matter.

Price to
be
lowered
at once
2/2/15

Yes & promptly

2/2/15

2/18/55 6:25 p.m. AR:WW

I called SAC Kelly, New York, and advised him to immediately institute an inquiry pursuant to the above and that he is to keep us advised of all developments. He is also conferring with Mr. McGuire concerning any press inquiries he may have.

~~1~~ A. Rosen

Mr. Tolson ☒
 Mr. Boardman ☒
 Mr. Nichols ☒
 Mr. Belmont ☒
 Mr. Harbo ☒
 Mr. Mohr ☒
 Mr. Parsons ☒
 Mr. Rosen ☒
 Mr. Tamm ☒
 Mr. Sizoo ☒
 Mr. Winterrowd ☒
 Tele. Room ☒
 Mr. Holloman ☒
 Miss Gandy ☒

Jan

file

6-11-55

Secret Devices Bootlegged

New York Uncovers Wire-Tap Factory

Federal officials here have not been told about recent discoveries of a wire-tapping "factory" in New York City and the bootlegging of supposedly secret Government electronic eavesdropping equipment because the U. S. has been lax in dealing with such practices, it was reported today.

FM radio equipment manufactured on a fixed frequency for the Government reportedly is being sold to private investigators, the New York Herald Tribune said.

One device is a small radio microphone and transmitter which can be planted in a room and monitored in a car parked several blocks away.

The New York City Anti-Crime Committee, which has urged a legislative investigation of "illegal eavesdropping," revealed yesterday that police recently raided a Manhattan apartment which contained \$10,000 worth of electronic equipment and a closet full of illegally recorded phone conversations.

TALK FOR SALE

A telephone company employee was operating for hire a minimum of 10 taps at a time on phones covering the midtown East Side area, the committee said.

He could tap any telephone on each of six exchanges, and he received \$35 a tap. He paid a fellow employee a flat \$35 a week to help him, the committee said.

Altho two men and two women were found in the apartment, no one was arrested. Police are not talking about the raid. The phone company said two employees have

Wash. Post and Times Herald

Wash. News

Wash. Star

N. Y. Herald Tribune

N. Y. Mirror

Date: FEB 18 1955

ENCLOSURE

139-149-2

been suspended but did not connect them directly with the "factory."

Serge Rubinstein's murder apparently led police to the wire-tapping operation. The committee said the playboy financier made wide use of taps to spy on financial activities of his business rivals and the amorous excursions of his girl friends.

LIMITED ACCESS

The committee said he dealt with half a dozen private detectives and had access to equipment that only Government agencies are allowed to own.

The committee has tried for years to have state wire-tap regulation modernized to cover devices which can pick up conversations more than 300 yards away without wires.

The Herald-Tribune said legislative leaders first felt that the committee's revelations should be told to the Federal Communications Commission, which—theoretically—has investigative power to wire-tap matters under the 1934 law which set up the commission; and the

Justice Department, which—again only in theory—prosecutes wire-tap law violators.

FAILURE

But the legislators decided against this, the newspaper said, because "to date (the Government) has failed in meeting the problem in New York State. . . ."

Justice has prosecuted only one case since 1934. Supreme Court rulings on wire-tapping leave its legality in sufficient doubt that it goes on virtually unchecked. Many states not only allow tapping but allow the results to be used as evidence in courts.

New York law allows tapping by law enforcement officers who have court orders. The Herald-Tribune said many police and district attorney's offices "reportedly have been lax in applying to the courts for such permission."

It also said any investigation is expected to run into strong "under-

ground" opposition "from unscrupulous law enforcement officers and private investigators," since "all those registered with the (New York) Department of State would be called in to testify as to their activities."

Office Memorandum • UNITED STATES GOVERNMENT

TO : Mr. Rosen *R*

DATE: 2-21-55

FROM : Mr. Price *pp*SUBJECT: ⁽¹⁰⁾ JOHN G. BROADY, with aliases, et al
UNAUTHORIZED PUBLICATION
OR USE OF COMMUNICATIONS

Tolson _____
Boardman _____
Nichols _____
Belmont _____
Harbo _____
Mohr _____
Parsons _____
Rosen _____
Tamm _____
 Sizoo _____
Winterrowd _____
Tele. Room _____
Holloman _____
Gandy _____

This is to advise that at 10:45 A.M., 2-21-55, Mr. Judson W. Bowles, Department attorney handling wire tapping cases, called Supervisor H. J. Morgan making inquiry concerning captioned matter. Morgan advised Bowles that he would call him back.

Pursuant to your instructions, Morgan called Bowles and advised him that we were conducting a preliminary investigation concerning this matter. Bowles was satisfied and stated that his purpose in calling was that he would like to know if the Bureau was looking into this matter if Assistant Attorney General Olney calls him.

HJM:mrs *3p9*

RECORDED - 6

139-142-3
13 FEB 24 1955

Office Memorandum • UNITED STATES GOVERNMENT

TO : Mr. Rosen

DATE: Feb. 21, 1955

FROM : Mr. Price

SUBJECT: JOHN G. BROADY, with aliases;
CHARLES GRIS; CARL RUH;
WALTER C. ASMANN; WARREN B. SHANNON
UNAUTHORIZED PUBLICATION OR USE OF COMMUNICATIONS

Tolson
Boardman
Nichols
Belmont
Harbo
Mohr
Parsons
Rosen
Tamm
 Sizoo
Winterrowd
Tele. Room
Holloman
Gandy

This is to advise you our preliminary investigation concerning tb7D
"large-scale" wiretap in N.Y. City is completed and reflects the following:
District Attorney (DA) Frank Hogan refused to furnish us with any informa-
tion; N.Y. Telephone Company obtained signed statements (from subjects Ruh
and Asmann admitting guilt)

[redacted] that Ruh and Asmann admit operating since
June, 1954, and 18 telephone lines are involved; E.R. Squibb Pharmaceutical
Company lines tapped.

(1) CONTACT WITH NEW YORK DISTRICT ATTORNEY FRANK HOGAN

DA Frank Hogan was interviewed 2/19/55 and he indicated that he
arrested two suspects (Carl Ruh and Walter C. Asmann); that he was extremely
busy [redacted] it would be impossible for him to furnish any information he had at this
time or to make available [redacted]

(2) CONTACT WITH THE NEW YORK CITY (NYC) POLICE DEPARTMENT (PD)

NYC Police Commissioner Francis P. Adams pledged complete coopera-
tion but indicated DA Frank Hogan was controlling this case.

NYC Police stated they raided the premises at 360 East 55th Street,
NYC, at 3 p.m. 2/11/55, accompanied by representatives of the N.Y. Telephone
Co., after a request was made by the telephone company for assistance. They
were admitted to Apartment 4M at the above address by [redacted]
of Warren B. Shannon, who was also present. A closet was examined and found
to contain 8 turn tables, 50 reels, a testmeter, switch relays, an automatic
time clock and a record album. The police officers called police headquar-
ters in the midst of the raid and were instructed to withdraw from the pre-
mises. According to the PD, it has not returned to Shannon's apartment.
The N.Y. Police report that Shannon named John G. Broady as his superior.
Later, a card bearing the name of Charles Gris, a private detective, was
found on Charles Ruh's person when he was interrogated by the N.Y. Police.
The N.Y. Police stated that neither Ruh nor Asmann was interrogated by them
unless so interrogated by detectives working out of Hogan's office.

(3) CONTACT WITH REPRESENTATIVES OF THE NEW YORK TELEPHONE COMPANY

Special Agent Louis C. Hesse of the N.Y. Telephone Company advised
that their investigation commenced upon receipt of a complaint 2/4/55 from
a source Hesse declined to furnish. [redacted]

cc-Mr. Nichols
HJM/rcr

RECORDED - 6
INDEXED - 6

FEB 24 1955

Memo to Mr. Rosen

[redacted] b7D
[redacted] Inasmuch as Ruh, test desk man, central office of the telephone company, was known to Hesse to be intelligent, capable, and maintaining a high standard of living, he became a prime suspect. Asmann was observed to be a close associate of Ruh. Asmann was a frame man assigned to the central office. He was observed by a company foreman on 2/10/55 making unauthorized connections; the connections were traced to various extensions in NYC and it was determined one of the connections was located at 360 East 55th St., NYC, Plaza 5-1775, listed to Warren B. Shannon, Apartment 4M, and another traced to E. R. Squibb (Pharmaceutical) Co. 745 5th Avenue, NYC. NY

On 2/11/55, Asmann was questioned by company officials and admitted that about 6 months previous he had been approached by Ruh who offered to pay him \$35 per job for running cross connections. Asmann furnished a handwritten, signed statement admitting guilt.

Ruh was subsequently questioned and readily admitted his unauthorized activities. He said he was the contact man at the central office of the N.Y. Telephone Company and was paid \$100 per job by Shannon. Ruh furnished a signed statement admitting guilt.

Hesse advised one copy of each statement furnished by Ruh and Asmann was made. [redacted]

[redacted] The company does not have copies of these signed statements. Ruh and Asmann admitted operating since June, 1954, and there were about 18 telephone lines involved. b7D

C. J. Gotsch, one of the telephone company employees who made the raid on Shannon's apartment, advised he removed no equipment and to his knowledge neither did the NYC Police. Gotsch stated he removed all illegal wires.

Joseph Gilbert, the other telephone company employee who raided Shannon's apartment, advised he found a 16 pair terminal strip with a 16 pair cable attached thereto. Twelve jacks were also observed coming from the terminal strip but no recording devices were in operation. The telephone company inspection of the recording devices reveals 4 to 6 lines were tapped. Jumpers were removed in the basement of this apartment house and turned over to Hogan's Office.

(4) OTHER INFORMATION

The N.Y. "Daily News" 2/19/55 reported George H. Sibley's line was tapped; that Sibley is close friend of N.Y. State Republican Leader W. A. Mahoney; that Sibley saw no reason why his line was tapped but he would confer with his attorney, John G. Broady. NY

b7D

Memo to Mr. Rosen

RECOMMENDATION:

We have gone as far as we can with regard to our preliminary investigation. We cannot take any further action in view of Hogan's refusal to make any information available to us. If you approve, we will immediately orally discuss the facts which we have with the Department and point out Hogan's refusal to furnish any information to us. We will confirm the Department's opinion by memorandum.

*Matter presently being discussed with Dept.
H.A.*

*R
Hm
JH*

QW

*✓
JH & promptly
JH*

*Discussed with Allan Lindsay,
Crim Div 2-21-55 and memo Pmc
to Rosen same date
JH*

*Supers. Bureau, NYO, instructions
to sup. by case of Grossman 2/23/55.
JH*

FEDERAL BUREAU OF INVESTIGATION
U. S. DEPARTMENT OF JUSTICE
COMMUNICATIONS SECTION

FEB 18 1955

TELETYPE

WASH 10 FROM NEW YORK 18 2-05 PM

DIRECTOR U R G E N T

ATTENTION - ASSISTANT DIRECTOR A. ROSEN

JOHN G. BROADY, WA., JOHN STEVE BROADY., CHARLES GRIS., CARL RUH.,
Unauthorized Publication or Use of Communications

/FNU/ ANDESCO /PH/, UPUC. NYC NEWSPAPERS THIS DATE CARRIED STORY

TO EFFECT THAT NYC ANTI-CRIME COMMITTEE REPORTED TO NY STATE

LEGISLATIVE LEADERS THE SECRET POLICE RAID ON A MANHATTAN APARTMENT

WHICH TURNED UP TEN ACTIVE WIRETAPS. STORY INDICATED RAID CONDUCTED

BY NYCPD ON FEBRUARY ELEVEN LAST AND WAS INSPIRED BY DISCLOSURES

IN SERGE RUBENSTEIN CASE OF WIRETAPS PLACED BY HIM. STORY ALLEGED

NO ARRESTS MADE BUT TWO TELEPHONE COMPANY EMPLOYEES SUSPENDED FROM

JOBS.

7B

Mr. Tolson	_____
Mr. Boardman	_____
Mr. Nichols	_____
Mr. Belmont	_____
Mr. Harbo	_____
Mr. Mohr	_____
Mr. Parsons	_____
Mr. Rosen	_____
Mr. Tamm	_____
Mr. Sizoo	_____
Mr. Winterrowd	_____
Tele. Room	_____
Mr. Holloman	_____
Miss Gandy	_____

16

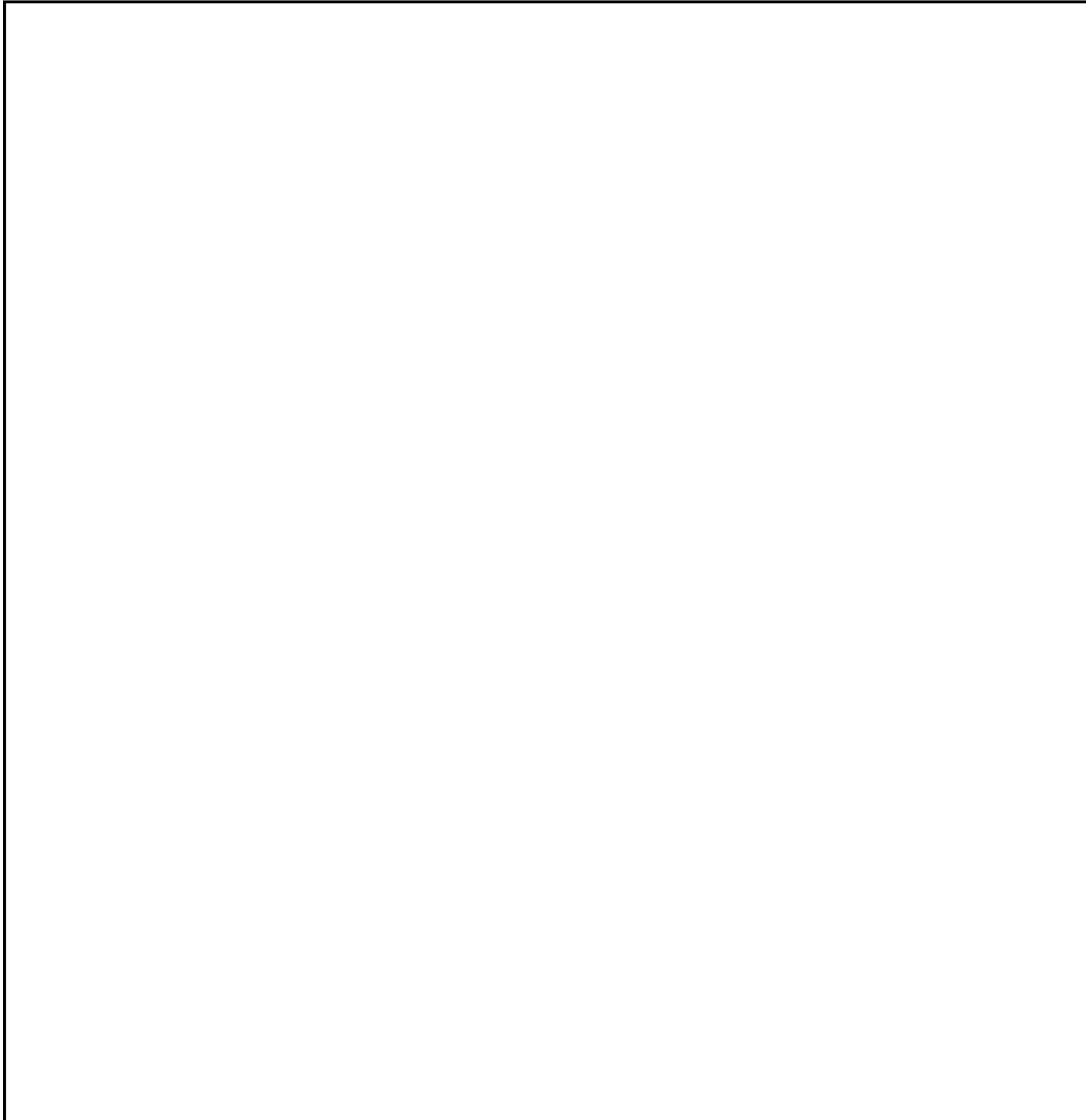
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24 FEB 23 1955

PAGE TWO

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END PAGE TWO

PAGE THREE

b7D

[REDACTED] BROADY IS SUBJECT OF

PREVIOUS INVESTIGATION ENTITLED QUOTE BARBARA BARB.,
JOHN G. BROADY, WA., UPUC , UNQUOTE ON WHICH DEPARTMENT DECLINED
PROSECUTION IN FEBRUARY NINETEEN FIFTYFOUR. GRIS APPARENTLY IDENTICAL
WITH CHARLES V. GRISHABER, SUBJECT OF CASE ENTITLED QUOTE CHARLES
VINCENT GRISHABER, WAS, IMPERSONATION UNQUOTE, FBI NO. FOUR EIGHT
NAUGHT ONE SEVEN THREE. NUMEROUS REFERENCES NY FILES REFLECT GRIS
PRIVATE DETECTIVE SPECIALIZING IN TECHNICAL OPERATIONS. [REDACTED]

b7D

[REDACTED] ADDITIONAL INFO FURNISHED

BY [REDACTED] WILL BE PROMPTLY FURNISHED BUREAU AND NO FURTHER ACTION
WILL BE TAKEN BY NYO PENDING BUREAU INSTRUATIONS.

Mr. Rosen

CC: MR. ROSEN
AND SUPERVISOR
INVESTIGATIVE DIVISION

KELLY

END

NY R 10 WA CAF

Assistant Attorney General
Warren Olney III

February 23, 1955

Director, FBI

RA
⑥
JOHN G. BROADY, with aliases;
CHARLES GRIS; CARL RUI;
WALTER C. ASMANN; WARREN B. SHANNON
UNAUTHORIZED PUBLICATION OR USE OF COMMUNICATIONS

This memorandum is to confirm an opinion furnished by Mr. Alan Lindsay of your Division to representatives of this Bureau at a conference held in his office during the afternoon of February 21, 1955.

Mr. Lindsay was advised that the New York City Police Department and representatives of the New York Telephone Company conducted a raid on February 11, 1955, at Apartment 4M, 360 East 55th Street, New York, New York, which subsequently became public in newspaper stories appearing on February 18, 1955. It was pointed out to Mr. Lindsay that following the report of this situation in the newspapers, our New York Division made inquiry of the New York City Police Department, the New York Telephone Company and New York County District Attorney Frank Hogan in order to obtain the facts.

Mr. Lindsay was advised that Mr. Hogan has in his possession signed statements from two telephone company employees and has charged them with violating a New York State felony statute as a result of their wire tapping activities. Mr. Lindsay was informed that Mr. Hogan has stated that it was impossible for him to furnish any information to us at this time

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b7D

Mr. Lindsay stated that no additional inquiries or investigation should be conducted by this Bureau. Mr. Lindsay said that he would appreciate receiving from the Bureau the report from our New York Division reflecting the results of the preliminary investigation which was conducted.

Tolson _____
Boardman _____
Nichols _____
Belmont _____
Harbo _____
Mohr _____
Parsons _____
Rosen _____
Tamm _____
 Sizoo _____
Winterrowd _____
Tele. Room _____
Holloman _____
Gandy _____

cc: Mr. Nichols
Mr. Mohr

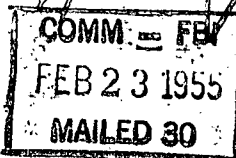
HJM:mrs

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24 FEB 24 1955



Mr. Lindsay advised that in his opinion since there was a showing that District Attorney Hogan has obtained statements from two of the subjects, has had two of the subjects arrested and [REDACTED] he does not feel that any further steps should be taken at this time by us.

b7D

As soon as this Bureau receives the investigative report from our New York Division reflecting the results of the preliminary investigation conducted, you will be promptly furnished with a copy of the report.

FEDERAL BUREAU OF INVESTIGATION
U. S. DEPARTMENT OF JUSTICE
COMMUNICATIONS SECTION

FEB 19 1955

TELETYPE

Mr. Tolson
Mr. Boardman
Mr. Nichols
Mr. Belmont
Mr. Harbo
Mr. Mohr
Mr. Parsons
Mr. Rosen
Mr. Tamm
Mr. Sizoo
Mr. Winterrowd
Tele. Room
Mr. Holloman
Miss Gandy

FBI NY

2-19-55

9-00 PM

JLM

DIRECTOR

URGENT

ATT.. ASSISTANT DIRECTOR A. ROSEN

Unauthorized Publication or Use of Communications
JOHN G. BRODY, WAS., ET AL, UPUC. RMYTEL THIS DATE. LOUIS C.
HESSE, SPECIAL AGENT, NEW YORK TELEPHONE COMPANY, INTERVIEWED TODAY
IN PRESENCE OF GENERAL COUNSEL FOR TELEPHONE COMPANY, RALPH W.
BROWN. HESSE STATED INVESTIGATION COMMENCED UPON RECEIPT OF
COMPLAINT FEBRUARY FOUR LAST FROM SOURCE HEESE PREFERRED NOT TO
IDENTIFY. [REDACTED]

INASMUCH AS CARL R. RUH, TEST

DESK MAN, CENTRAL OFFICE, WAS KNOWN TO HESSE AS INTELLIGENT, CAPABLE
INDIVIDUAL WHO MAINTAINED A HIGH STANDARD OF LIVING, HE IMMEDIATELY
BECAME A PRIME SUSPECT. SUPERVISORY PERSONNEL OBSERVED THAT WALTER
C. ASMANN, FRAME MAN ASSIGNED TO CENTRAL OFFICE WAS CLOSE ASSOCIATE
OF RUH. ASMANN OBSERVED BY CENTRAL OFFICE FOREMAN R. STEPHENS ON
FEBRUARY TEN LAST MAKING UNAUTHORIZED CONNECTIONS. THESE CONNECTIONS
TRACED TO EXTENSIONS TWO EIGHT SEVEN AND TWO EIGHT EIGHT, PLAZA
THREE DASH TWO NINE HUNDRED, LISTED TO E. R. SQUIBB COMPANY, SEVEN
FOUR ELEV, FIETH AVENUE, NYC. THESE CONNECTIONS WERE TRACED THROUGH

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MAR 3 1955

Mr. Rosen

END OF PAGE ONE

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PAGE TWO

CENTRAL OFFICE TO BASEMENT OF THREE SIXTY FIRST AVENUE, NYC. FOLLOWING CROSS CONNECTIONS WERE LOCATED AT THREE SIXTY EAST FIFTY FIFTH STREET, NYC. PLAZA FIVE DASH ONE SEVEN SEVEN FIVE, LISTED TO WARREN B. ~~SHANNON~~, APARTMENT FOUR M, WHICH IS AUTHORIZED CONNECTION. TE EIGHT DASH FOUR EIGHT ONE NINE, LISTED TO [REDACTED]

b6
b7c

[REDACTED]
[REDACTED] WHICH IS UNAUTHORIZED CONNECTION, PLAZA EIGHT DASH ZERO EIGHT SIX FOUR, LISTED TO RUDOLPH HEINEMAN, ROOM TWENTY NINE A, FOUR SIX FIVE PARK AVENUE, WHICH IS UNAUTHORIZED CONNECTION. EL FIVE DASH FOUR THREE FIVE EIGHT, LISTED TO SHANNON, WHICH IS AUTHORIZED CONNECTION. PLAZA THREE DASH TWO SEVEN SIX EIGHT, LISTED TO E. R. SQUIBB COMPANY, SEVEN FOUR FIVE FIFTH AVENUE, NYC, WHICH IS UNAUTHORIZED CONNECTION. PLAZA THREE DASH TWO NINE SIX SEVEN, ALSO LISTED TO E. R. SQUIBB COMPANY, SEVEN FOUR FIVE FIFTH AVE., NYC, WHICH IS UNAUTHORIZED CONNECTION. ON FEB ELEVEN LAST TELEPHONE COMPANY SUPERVISORY PERSONNEL OBSERVED THAT CROSS CONNECTION ON TE FOUR DASH FOUR EIGHT SEVEN NINE WAS REMOVED AND REPLACED WITH CONNECTION ON TE EIGHT DASH NINE TWO NINE FIVE, LISTED TO [REDACTED]

[REDACTED] WHICH IS UNAUTHORIZED CONNECTION.

END OF PAGE TWO

2

PAGE THREE

HESSE STATED THAT ON FEB ELEVEN LAST HE VISITED DEPUTY INSPECTOR EDWARD FEELEY AND FURNISHED HIM ALL THE INFORMATION HIS INVESTIGATION HAD REVEALED. HE TOLD FEELEY THAT HE WOULD LIKE TO GAIN ACCESS TO APARTMENT FOUR M LOCATED AT THREE SIXTY EAST FIFTY FIFTH ST., NYC, WHICH WAS OCCUPIED BY WARREN B. SHANNON. HESSE STATED THAT HE HAD DEDUCED AS A RESULT OF HIS INVESTIGATION THAT THE TELEPHONE PAIRS REFERRED TO ABOVE WERE BEING LED INTO THIS APARTMENT. HESSE TOLD FEELEY HE WISHED TO GAIN ACCESS TO THE APARTMENT IN ORDER TO SUBSTANTIATE HIS BELIEF THAT THE TELEPHONE COMPANY EMPLOYEES WERE ENGAGING IN UNAUTHORIZED ACTIVITIES AND TO OBTAIN ADDITIONAL INFORMATION ON WHICH TO BASE AN INVESTIGATION TO DETERMINE IF OTHER TELEPHONE COMPANY EMPLOYEES WERE ENGAGING IN UNAUTHORIZED ACTIVITIES. ON THE AFTERNOON OF FEBRUARY ELEVEN LAST, ASMANN WAS QUESTIONED BY HESSE AND OTHER COMPANY OFFICIALS. AFTER CONSIDERABLE QUESTIONING HE FINALLY ADMITTED THAT ABOUT SIX MONTHS PREVIOUS HE HAD BEEN APPROACHED BY RUH WHO OFFERED TO PAY HIM THIRTY FIVE DOLLARS PER JOB FOR RUNNING CROSS CONNECTIONS. RUH SAID HE AGREED TO DO THIS. HE FURNISHED A HANDWRITTEN SIGNED STATEMENT. RUH WAS SUBSEQUENTLY QUESTIONED AND READILY ADMITTED HIS UNAUTHORIZED ACTIVITIES. HE SAID

END OF PAGE THREE

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PAGE FOUR

THAT HE WAS THE CONTACT MAN AT TWO TWO EIGHT EAST FIFTY SIXTH ST., THE CENTRAL OFFICE OF THE NEW YORK TELEPHONE COMPANY AND WAS PAID ONE HUNDRED DOLLARS PER JOB BY SHANNON. HE SAID THAT SHANNON WAS A FORMER SCHOOLMATE OF HIS. RUH DID NOT IMPLICATE ANYONE OTHER THAN SHANNON. HESSE SAID THAT RUH WAS ASKED IF HE KNEW PRIVATE DETECTIVES GRIS, SPINDEL /PHONETIC/, DIAMOND AND BRODY. RUH SAID HE KNEW THEM ALL EXCEPT BRODY. HESSE SAID THAT THE SIGNED STATEMENTS FURNISHED BY RUH AND ASMANN WERE HANDWRITTEN AND ONE CARBON COPY OF EACH WAS MADE.

b7D

HESSE SAID THAT THE COMPANY DOES NOT HAVE COPIES OF THESE SIGNED STATEMENTS. EACH EMPLOYEE ALSO HAD A TELEPHONE COMPANY WORKBOOK IN HIS POCKET. THESE WORKBOOKS CONTAINED AN ACCOUNT OF ALL THE CROSS CONNECTIONS REFERRED TO ABOVE. HESSE SAID THAT HE TOOK THESE BOOKS FROM RUH AND ASMANN

HESSE SAID THAT ON THE AFTERNOON OF FEB ELEVEN HE WAS CALLED BY ONE OF HIS ASSISTANTS GOTSCH, WHO WAS AT SHANNON-S APARTMENT, THREE SIXTY EAST FIFTY FIFTH ST., NYC, WITH ANOTHER TELEPHONE COMPANY INVESTIGATOR, GILBERT

END OF PAGE FOUR

PAGE FIVE

AND SOME CITY DETECTIVES. GOTSCH TOLD HIM THAT THEY HAD FOUND EIGHT TURNTABLES WITH PORTABLE PLUGS CONNECTED AND JACKS AT THE APARTMENT. HE SAID THAT THE PLUGS WERE NOT CONNECTED AND NONE OF THE EQUIPMENT WAS IN OPERATION. GOTSCH ASKED HESSE IF THE EQUIPMENT SHOULD BE SEIZED AND HESSE TOLD HIM THAT THAT WAS A MATTER FOR THE NEW YORK CITY POLICE DEPARTMENT TO DECIDE. HESSE SAID THAT SINCE HE WAS NOT PRESENT WHEN THE PREMISES AT THREE SIXTY EIGHT FIFTY FIFTH STREET WERE RAIDED, HE PREFERRED THAT HIS ASSISTANTS GOTSCH AND EILBERT FURNISH THE DETAILS ABOUT THAT MATTER. HESSE SAID THAT HE BELIEVED THAT PRIVATE DETECTIVE AGENCIES WERE INVOLVED, BOTH ON THE BASIS OF HIS TIP PLUS THE FACT THAT ON SUNDAY, FEB THIRTEEN LAST, A TELEPHONE COMPANY TESTOR NAMED SULLIVAN WAS CONTACTED AT HIS HOME IN NEW JERSEY BY AN INDIVIDUAL WHO IDENTIFIED HIMSELF AS STEVE BRODY. BRODY REQUESTED SULLIVAN TO CHECK HIS TELEPHONE LINES FOR HIM SINCE HE BELIEVED THAT THEY WERE TAPPED. HE OFFERED TO BUY SULLIVAN-S DAUGHTER A PRESENT FOR DOING THIS. SULLIVAN REFUSED AND BRODY AGAIN CONTACTED HIM AT HIS EMPLOYMENT A COUPLE OF DAYS LATER. SULLIVAN AGAIN REFUSED. HESSE SAID THAT RUH AND ASMANN CLAIMED TO HAD BEEN OPERATING SINCE ABOUT JUNE, FIFTYFOUR, AND THAT IN ALL ABOUT EIGHTEEN TELEPHONE LINES WERE INVOLVED. NY FILES NEGATIVE ON RUDOLPH HEINEMAN AND INGRED DAIL NUMEROUS REFERENCES ON BEING CHECKED OUT. C. J. GOTSCH INTERVIEWED THIS DAY

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b7c

END OF PAGE FIVE

PAGE SIX

BY SAS THIS OFFICE AND ADVISED CHECKED THE SQUIBB BLDG. AND BY CHECKING HOUSE BOXES FOUND UNAUTHORIZED CROSS WIRES WHICH TERMINATED IN SQUIBB OFFICE, WHICH COMPLETED HIS ASSIGNMENT AND HE TOOK NO FURTHER ACTION RE ABOVE. IN CONNECTION WITH THE APT. OCCUPIED BY SHANNON LOCATED AT THREE SIX ZERO E. FIFTYFIFTH ST., HE ADVISED THAT UPON ENTERING APT. WITH TELCO SA GILBERT AND NYC DETECTIVES AND UPON CONDUCTING A SURVEY OF TELEPHONE FACILITIES WITHIN PREMISES, HE ASCERTAINED THAT A CLOSET CONTAINED A BOX CONTAINING SIXTEEN PAIRS. ON THE COVER OF THE HOUSE BOX THERE APPEARED A PIECE OF PAPER AND WRITTEN THEREON CONTAINED THE TELEPHONE NUMBERS APPEARING HEREAFTER. GOTSCH THEN WENT TO EACH HOUSE PAIR AND BY UTILIZING HIS TEST SET ASCERTAINED FROM THE TELCO OPERATOR THAT THOSE PAIR ON WHICH HE ASKED THE IDENTITY OF THE SUBSCRIBER CORRESPONDED TO THE TELEPHONE NUMBERS APPEARING ON THE SHEET OF PAPER APPEARING ON THE DOOR OF THE HOUSE BOX. GOTSCH STATED THAT HE SAW NO CONNECTIONS TO ANY RECORDING DEVICES AND THEREFORE COULD NOT STATE WHETHER OR NOT INFORMATION HAD BEEN RECORDED BY UTILIZING PAIRS APPEARING IN HOUSE BOX, HOWEVER HE NOTED THAT THERE WERE FACILITIES FOR RECORDING, WHICH APPEARS ELSEWHERE IN THIS TELETYPE. THE LIST IS AS FOLLOWS.. MU EIGHT DASH FOUR SEVEN EIGHT NINE LISTED TO [REDACTED]

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END OF PAGE SIX

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PAGE SEVEN

INSTANT NUMBER INSTALLED JANUARY THIRTY, FIFTY., EL FIVE DASH ZERO
SEVEN THREE TWO LISTED TO [REDACTED]

b6
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[REDACTED] INSTALLED DEC TWENTYEIGHT, FIFTYTHREE., PL FIVE
DASH EIGHT SIX THREE ZERO LISTED TO SUPERINTENDENT-S OFFICE,
SQUIBB BLDG., SEVEN FOUR FIVE FIFTH AVE., INSTALLED MARCH THIRTYONE,
FIFTYFOUR., PL EIGHT DASH SEVEN FIVE TWO TWO WHICH, ACCORDING TO
TELEPHONE OFFICIALS, IS NOT A WORKING NUMBER., PL THREE DASH ONE FOUR
SIX SIX LISTED TO P.S.P. INC., PUBLISHERS, FIVE TWO SEVEN LEXINGTON
AVE., EL FIVE DASH THREE TWO FOUR SEVEN LISTED TO ST. JOSEPHS LEAD,
TWO FIVE ZERO PARK AVE., NO INSTALLED DATE GIVEN., MU EIGHT DASH
EIGHT SEVEN FOUR FOUR LISTED TO NORMAN C. SEIDENWURM, FOUR ZERO
ZERO EAST FOUR NINE ST., APT. SIXTEEN D, INSTALLED DEC TWENTY SIX,
FIFTYONE. GOTSCH REMOVED ALL ILLEGAL WIRES AND LEFT TWO AUTHORIZED
PHONE CONNECTIONS GOING INTO THE APT OF SHANNON. ON THE ADVISE
OF HESSE, CHIEF OF INVESTIGATIONS, HE REMOVED NO EQUIPMENT STATED
THAT TO HIS KNOWLEDGE NEITHER DID THE POLICE. GOTSCH STATED HE
DID NOT ASSIST IN ANY WAY WITH THE INTERVIEW OF RUH AND ASMANN.
RE NYTEL OF FEB NINETEEN INSTANT LISTING NINE NUMBER FOUND ON BOX
BY POLICE. TWO OF THESE LINES ASCERTAINED TO BE LEGITIMATE LINES
OF WARREN SHANNON. NY FILES NEGATIVE RE ABOVE SUBSCRIBERS. WITH
| RESPECT TO ABOVE TELEPHONE NUMBERS, THE TELCO IS EXTREMELY

END OF PAGE SEVEN

PAGE EIGHT

CONCERNED THAT THIS INFO SHOULD BECOME PUBLICLY KNOWN, WHICH MIGHT RESULT IN EXTREMELY BAD PUBLICITY AND LAWSUITS. RICHARD BLUE, GENERAL PLANT MANAGER FOR MANHATTAN ISLAND NY TELEPHONE CO., INTERVIEWED THISDATE. BLUE ADVISED INFORMATION FIRST BROUGHT TO HIS ATTENTION APPROXIMATELY THIRD WEEK IN JANUARY, FIFTYFIVE THAT CARL RUH AND WALTER C. ASMANN, EMPLOYEES OF NY TELEPHONE COMPANY, WERE ENGAGING IN ILLEGAL PRACTICES DETRIMENTAL TO NY TELEPHONE COMPANY. THIS WAS BROUGHT TO BLUE-S ATTENTION BY KENNETH NORRIS, JR., GENERAL PLANT PERSONNEL SUPERVISOR, WHO OBRAINED THE INFORMATION FROM LOUIS HESSE, CHIEF SPECIAL AGENT NY TELEPHONE COMPANY. BLUE INSTRUCTED THAT HE BE KEPT ADVISED OF PERTINENT DEVELOPMENTS IN CASE AND EXPLAINED THAT HIS MAIN INTEREST WAS OF A PERSONNEL NATURE IN REMOVING ANY EMPLOYEES ENGAGING IN ILLEGAL PRACTICES DETRIMENTAL TO INTEREST OF NY TELEPHONE COMPANY AS WELL AS DEVELOPING SUFFICIENT FACTS TO WARRANT A DISCHARGE OF THESE EMPLOYEES WITHOUT UNION REPERCUSSIONS. BLUE STATED THAT HE HAD NOT PERSONALLY INTERVIEWED EMPLOYEES INVOLVED BUT STATED, TO THE BEST OF HIS KNOWLEDGE, LOUIS HESSE ALONG WITH E. BARDEN, DISTRICT PLANT SUPERINTENDENT AND E. CONNELL, DIVISION PLANT SUPERINTENDENT, HAD CONDUCTED THE INTERROGATION AND SECURED SIGNED STATEMENTS FROM

END OF PAGE EIGHT



PAGE NINE

EMPLOYEES. BLUE STATED THAT HE HAD SEEN SIGNED STATEMENTS WHICH WERE HANDWRITTEN AND NOT TOO LONG. BLUE COULD NOT FURNISH SPECIFIC DETAILS AS TO WHAT WAS CONTAINED IN THESE STATEMENTS BUT RECALLED THAT BOTH STATEMENTS CONTAINED AN ADMISSION OF GUILT OF ILLEGAL PRACTICES ON THE PART OF BOTH EMPLOYEES. BLUE CONCLUDED BY STATING THAT ALL INFO CONCERNING CASE HAD BEEN FURNISHED TO HIM ORALLY AND THAT HE HAD NOT ACTIVELY PARTICIPATED IN THIS INVESTIGATION. IT WAS BLUE-S BELIEF THAT PERTINENT FACTS CONCERNING THE INVESTIGATION COULD BE OBTAINED FROM LOUIS HESSE WHO SUPERVISED THE INVESTIGATION FOR THE NY TELEPHONE COMPANY. TELCO SA JOSEPH NORRIS GILBERT, NY TELEPHONE CO., ADVISED UPON NOTICE OF IRREGULARITIES IN REGARD TO CERTAIN PAIRS AT NY TELCO OFFICE, TWO TWO EIGHT E. FIFTYSIXTH ST., INSPECTED MAIN DISTRIBUTION FRAME AT THIS EXCHANGE AND NOTED FOUR OR SIX PAIRS BACK TAPPED TO A CABLE WHICH SERVICED THE APT HOUSE LOCATED AT THREE SIX ZERO E. FIFTYFIFTH ST. MAIN FRAM E SERVICING THIS APT LOCATED IN BASEMENT AND IS KNOWN AS NINE EIGHT NINE FIRST AVE., ACCORDING TO TELCO RECORDS. INSPECTION AT MAIN FRAME, THREE SIX ZERO E. FIFTYFIFTH ST., REVEALED FOUR TO SIX JUMPERS FROM UNDERGROUND FEEDER CALBE TO HOUSE PAIRS. THESE HOUSE PAIRS ENTERED A TERMINAL STRIP ON FOURTH FLOOR OF APT. VIA A SIXTEEN PAIR CABLE. FROM TERMINAL STRIP A SIXTEEN PAIR CLOTH CABLE WAS OBSERVED

END OF PAGE NINE

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PAGE TEN

TO ENTER APT FOUR M AND NUMEROUS CONNECTIONS MADE AT HOUSE BOX. ON FEB ELEVEN LAST, TELCO SAS GILBERT AND GOTSCH AND NYC DETECTIVES JAMES COEN AND JOHN NORRIS CALLED AT APT FOUR M, THREE SIX ZERO E. FIFTHFIFTH ST., TO INSPECT TELEPHONE BUT WERE REFUSED ADMISSION. NYC POLICE IDENTIFIED SELVES AND GAINED ADMISSION AND INSPECTION OF TELEPHONE EQUIPMENT BY TELCO SAS GOTSCH AND GILBERT REVEALED A SIXTEEN PAIR CABLE ENTERING A CLOSET IN THE LIVING ROOM. CLOSET, WHICH WAS LOCKED, WAS OPENED BY SHANNON. SHANNON AND WOMAN IDENTIFIED AS WIFE, THE ONLY PERSONS IN APT AT TIME. GILBERT OBSERVED EIGHT HOMEMADE TURNTABLES, APPROXIMATELY FIFTY RECORDING REELS, ONE RECORD ALBUM, ONE AUTOMATIC CLOCK WITH DAY NIGHT DIALS AND SIXTEEN PAIR TERMINAL STRIP WITH SIXTEEN PAIR CABLE ATTACHED THERETO. TWELVE JACKS OBSERVED COMING FROM TERMINAL STRIP BUT NO RECORDING DEVICES IN OPERATION. TELCO INSPECTION OF RECORDING DEVICES REVEALS FOUR TO SIX LINES TAPPED AND NUMBERS IN QUESTION VERIFIED THROUGH TELCO OPERATORS. JUMPERS REMOVED IN BASEMENT AND TURNED OVER TO DIST. ATTY-S OFFICE THROUGH MR. LOUIS HESSE OF TELCO. DISCONNECTIONS MADE AT FOURTH FLOOR HOUSE BOX. SHANNON MADE NO COMMENT TO QUESTIONS ASKED BY TELCO SAS. GILBERT UNABLE TO FURNISH TELEPHONE NUMBERS WHICH WERE TAPPED. GILBERT UNABLE TO FURNISH ANY INFO CONCERNING

END OF PAGE TEN

PAGE ELEVEN

ANY STATEMENTS MADE BY RUH AND ASMANN AND ADVISED HE DID NOT PARTICIPATE IN ANY SURVEILLANCE OR INTERROGATION OF THEM, ALTHOUGH HE STATES ASMANN, WHEN CASUALLY ASKED BY HIM WHY HE HAD DONE IT, ANSWERED QUOTE I DID IT UNQUOTE, WITHOUT ANY FURTHER EXPLANATION. DISTRICT ATTORNEY FRANK HOGAN ADVISED ON FEB NINETEEN, FIFTYFIVE, THAT SINCE NOON OF FEB EIGHTEEN LAST, HE AND A STAFF OF SIX DISTRICT ATTORNEYS AS WELL AS A GROUP OF DETECTIVES WORKING OUT OF HIS OFFICE, HAVE BEEN EXTREMELY BUSY MAKING INQUIRIES INTO INSTANT CASE. AS A RESULT, HE INDICATED THAT HE ARRESTED TWO SUSPECTS IN THIS CASE /RUH AND ASMANN/, AND THAT HE WAS STILL EXTREMELY BUSY [REDACTED]

b7D

[REDACTED] HE STATED THAT IN VIEW OF THIS IT WOULD BE IMPOSSIBLE FOR HIM TO FURNISH ANY INFORMATION THAT HE HAD AT THIS TIME [REDACTED]

ON

FEB NINETEEN, FIFTYFIVE, THE ABOVE FACTS WERE BRIEFLY SUMMARIZED FOR SUPERVISOR BARNEY MEYERS AT THE BUREAU. THE NYO IS OF THE OPINION THAT INFORMATION OBTAINED THUSFAR COMPLETES THE PRELIMINARY INVESTIGATION IN THIS CASE, AND A DETAILED REPORT CONCERNING ALL INVESTIGATION CONDUCTED DURING FEB SEVENTEEN AND EIGHTEEN, LAST, WILL BE FORWARDED TO THE BUREAU. IT IS THE RECOMMENDATION OF THE NYO

END OF PAGE ELEVEN

//

PAGE TWELVE

THAT THESE FACTS BE PRESENTED TO THE ATTORNEY GENERAL FOR AN OPINION
AS TO WHETHER INSTANT FACTS CONSTITUTE VIOLATION OF UPUC STATUTES
AND WHETHER FURTHER INQUIRY IN THIS MATTER WOULD BE RECOMMENDED.
NO FURTHER INVESTIGATION BEING CONDUCTED, UACB.

KELLY

END ACK PLS

9-47 PM OK FBI WA CAF

M

CC: MR. ROSEN
~~AND SUPERVISOR~~
INVESTIGATIVE DIVISION

FEDERAL BUREAU OF INVESTIGATION
U. S. DEPARTMENT OF JUSTICE
COMMUNICATIONS SECTION

FEB 23 1955

TELETYPE

Mr. Tolson	_____
Mr. Boardman	_____
Mr. Nichols	_____
Mr. Belmont	_____
Mr. Harbo	_____
Mr. Mohr	_____
Mr. Parsons	_____
Mr. Rosen	_____
Mr. Tamm	_____
Mr. Sizoo	_____
Mr. Winterrowd	_____
Tele. Room	_____
Mr. Holloman	_____
Miss Gandy	_____

Wright-6
Ham

WASH 6 FROM NEW YORK 23 1-08 PM

DIRECTOR U R G E N T

JOHN G. BROADY, WA, ETAL, UPUC. REMYTEL FEBRUARY TWENTYTWO LAST.
CHARLES GUS REFERRED TO THROUGHOUT SHOULD BE CHARLES GRIS.

Kelly
KELLY

END AND ACK FOR 2 MSG

NY R 6 WA NOS

TU DISC

RECORDED-35

139-141
12 MAR 1 1955

Mr. Rosen

139-149

Office Memorandum • UNITED STATES GOVERNMENT

TO : MR. ROSEN

FROM : E. H. WINTERROWD

SUBJECT: WIRE TAPPING PROBE
NEW YORK STATE

DATE: February 23, 1955

CALL 9:00 A.M.

Tolson	_____
Boardman	_____
Nichols	_____
Belmont	_____
Harbo	_____
Mohr	_____
Parsons	_____
Rosen	_____
Tamm	_____
Sizoo	_____
Winterrowd	_____
Tele. Room	_____
Holloman	_____
Gandy	_____

ASAC Marchessault of the New York Office called to advise that information had been received that the Joint Legislature at Albany, New York had voted \$25,000 for a probe into wire tapping in the State of New York, particularly in New York City. Thereafter, proposed legislation will be considered.

Marchessault advised that he was calling SAC Soucy at Albany in order to alert him to this matter so that the action could be discreetly followed without making any inquiries.

Marchessault stated that he would submit a teletype providing additional details in this matter.

cc Mr. Belmont

EW/rh
(7)

139-149

NOT RECORDED
MAR 4 1955

ORIGINAL FILED IN

Mr. Tolson _____
Mr. Boardman _____
Mr. Nichols _____
Mr. Belmont _____
Mr. Harbo _____
Mr. Mohr _____
Mr. Parsons _____
Mr. Rosen ☒ _____
Mr. Tamm _____
Mr. Sizoo _____
Mr. Winterrowd _____
Tele. Room _____
Mr. Holloman _____
Miss Gandy _____
Miss Gandy

TELETYPE

8-35 AM EST

FJM

RUTHERFORD CONTACTED EVENING OF TWO TWENTY ONE BY SA OF NYO.
STATES EMPLOYED PRINCIPALLY BY ^{GRIS}GUS FOR PAST TWO AND ONE HALF YEARS.
ENGAGED PRIMARILY IN LEGAL TECHNICAL SURVEILLANCES AND PHYSICAL
SURVEILLANCES. ON OCCASIONS LOANED TO PRIVATE DETECTIVE LABORDE,
BERNARD SPIDEL AND IRVING S. LUMBARD. KNOWS SUBJECTS CARL RUH AND
WARREN SHANNON AS EMPLOYEES FOR PAST TWO YEARS OF ^{GRIS}GUS. HAS NEVER
MET ^{OR}~~OR~~ HEARD OF SUBJECT WALTER ASMANN. KNOWS OF BUT HAS NEVER MET
SUBJECT BROADY WHOM HE BELIEVES BITTER ENEMY OF ^{GRIS}GUS. HAD NO
KNOWLEDGE WHATSOEVER OF PLANT ^{RECORDED-25 139-149-9}THREE SIXTY EAST FIFTY FIFTH STREET
NOR OF OTHER ILLEGAL TAPS OR PLANTS BUT STATES HE SAW RUH ON TWO TWENTY
LAST AND LATTER TOLD HIM PLANT WAS BROADY OPERATION. STATES SPOKE
TO ^{GRIS}GUS TWO TWENTY ONE AND LATTER DENIED CONNECTION WITH OPERATION.

END PAGE ONE..

Mr. Rosen

PAGE TWO..

ADVISED HE BELIEVED RUH WILLING TO TALK TO FBI AND OFFERED TO CONTACT RUH FOR SAME. IN VIEW OF INDICATION RUH DESIROUS TO TALK TO FBI ABOVE FURNISHED BUREAU TEN PM TWO TWENTY ONE POINTING OUT UNKNOWN TO NYO WHETHER RUH REPRESENTED BY ATTORNEY. IN ACCORDANCE WITH BUREAU INSTRUCTIONS THAT DEPT. DESIRED ONLY PRELIMINARY INVESTIGATION AND INASMUCH AS INTERVIEW OF RUH MIGHT REFLECT MEDDLING IN STATE PROSECUTION AND INVESTIGATION. INTERVIEW NOT CONDUCTED. HOWEVER, ANY INFO RUH DESIRES TO FURNISH AT NYO WILL BE ACCEPTED.

KELLY

FEDERAL BUREAU OF INVESTIGATION
U. S. DEPARTMENT OF JUSTICE
COMMUNICATIONS SECTION

FEB 20 1955

TELETYPE

Mr. Tolson ☒
Mr. Boardman ☒
Mr. Nichols ☒
Mr. Belmont ☒
Mr. Harbo ☒
Mr. Mohr ☒
Mr. Parsons ☒
Mr. Rosen ☒
Mr. Tamm ☒
Mr. Sizoo ☒
Mr. Winterrowd ☒
Tele. Room ☒
Mr. Holloman ☒
Miss Gandy ☒

FBI NY
DIRECTOR

2-20-55

5-08 PM

JLM

URGENT

71
JOHN G. BROADY, WA, ET AL., UPUC. NY ~~QUOTE~~ "DAILY NEWS" ~~UNQUOTE~~,
FEB NINETEEN LAST, CONTAINED ARTICLE DATED ALBANY, NY, BY JAMES
DESMOND, STAFF WRITER, WHICH STATES WITHOUT SOURCE INDICATED THAT
ONE OF VICTIMS OF WIRETAP WAS GEORGE H. SIBLEY, IDENTIFIED IN ARTICLE AS
CLOSE ASSOCIATE OF WALTER J. MAHONEY, NY STATE SENATE REPUBLICAN
LEADER. SIBLEY FURTHER IDENTIFIED AS ACTIVE IN YOUNG REPUBLICAN
CIRCLES. ARTICLE INDICATES SIBLEY WAS INTERVIEWED BY ~~QUOTE~~ "DAILY
NEWS" ~~UNQUOTE~~ AND REPLIED HE SAW NO REASON WHY HIS LINE SHOULD BE
TAPPED BUT WOULD CONFER WITH ATTORNEY JOHN G. BROADY, WHO HAS REPRESENTED HIM
PREVIOUS OCCASIONS. REFER MY TEL FEB NINETEEN LAST

INDICATING

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10 MAR 1 1955

Mr. Rosen

MAR 3

1955

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b7D

NY NEWSPAPERS THIS DATE

REVEAL SQUIBB PHONES AMONGST THOSE TAPPED.

BUREAU WILL BE KEPT ADVISED.

KELLY

END ACK PLS

5-15 PM OK FBI WA FOR THREE CAF

TU

CC: SAC, BOSTON
FBI BOSTON
INVESTIGATIVE DIVISION

FEDERAL BUREAU OF INVESTIGATION
U. S. DEPARTMENT OF JUSTICE
COMMUNICATIONS SECTION

FEB 19 1955

TELETYPE

Mr. Tolson ✓
Mr. Boardman ✓
Mr. Nichols ✓
Mr. Belmont ✓
Mr. Harbo ✓
Mr. Mohr ✓
Mr. Parsons ✓
Mr. Rosen ✓
Mr. Tamm ✓
Mr. Sizoo ✓
Mr. Winterrowd ✓
Tele. Room ✓
Mr. Holloman ✓
Miss Gandy ✓

FBI NYC 2-19-55 7-13 AM JJM
DIRECTOR URGENT

UNLAWFUL PUBLICATION & USE OF COMMUNICATIONS

ATTN- ASST. DIR. A. ROSEN

JOHN G. BROADY WA ET AL, UPUC RETECALL MR. ROSEN TO NYO EVENING OF
FEBRUARY EIGHTEEN LAST. INQUIRY EVENING OF FEBRUARY EIGHTEEN AT
NYCPD AND N. Y. TELEPHONE CO., REFLECTED ALL OFFICIALS OR EMPLOYEES
OF THESE AGENCIES HAVING DIRECT KNOWLEDGE OF INSTANT CASE THEN BEING
QUESTIONED BY N. Y. COUNTY D A. RALPH W. BROWN, GENERAL COUNSEL
AND ERIC B. NELSON, GENERAL ATTORNEY, N. Y. TEL. CO., INTERVIEWED.
ADVISED OVER ONE WEEK AGO COMPANY RECEIVED ANONYMOUS TIP EMPLOYEE
CARL RUH, TEST DISC MAN, LIVING BEYOND MEANS. COMPANY INSTITUTED INVES-
TIGATION UNDER LOUIS C. HESSE, CHIEF S. A. INVESTIGATION REVEALED
RUH "TRACING LINES, RUNNING WIRES AND MAKING JUMPERS AND BRIDGES
AT A CENTRAL EXCHANGE." INVESTIGATION REFLECTED RUH-S CLOSEST
ASSOCIATE WAS WALTER C. ASMANN, EMPLOYED AS FRAME MAN SAME EXCHANGE.
ACCORDING TO ATTORNEYS COMPANY SA-S INTERROGATED ASMANN WHO EVENT-
UALLY ADMITTED GUILT. RUH INTERROGATED BY COMPANY AND LIKEWISE
ADMITTED GUILT. ATTORNEYS NOT IN POSSESSION OF ANY DETAILS OF
ADMISSIONS MADE BY RUH AND ASMANN BUT DO KNOW BOTH MEN FURNISHED
HANDWRITTEN SIGNED STATEMENTS IN PRESENCE OF HESSE AND PROBABLY
OTHER COMPANY SA-S. [REDACTED]

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MAR 1 1955

HAVE RECOLLECTION

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Mr. Rosen

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cc Rosen

b7D

PAGE TWO

INDIVIDUAL USING NAME SHANNON IN APARTMENT IN EAST FIFTIES WAS HEAD OF WIRETAPPING OPERATION. COMPANY IMMEDIATELY SUSPENDED RUH AND ASMANN. AFTER CONTACT BY COMPANY SA-S WITH NYCPD INVESTIGATION MADE BY NYCPD DETECTIVES AND COMPANY SA-S AT SHANNON APT WHERE TWO MEN AND TWO WOMEN FOUND WHO WERE NOT TELEPHONE EMPLOYEES. ALSO LOCATED WERE FIVE TO SEVEN TELEPHONE LINES LEADING INTO APARTMENT. ACCORDING TO ATTORNEY POLICE AND COMPANY SA-S FOUND WIRE RECORDINGS IN APT AND DISCONNECTED EQUIPMENT. ATTORNEYS INDICATED POLICE AT TIME OF INVESTIGATION DIDN-T THINK THEY HAD ENOUGH EVIDENCE FOR ARREST AND PROSECUTION SO NO ARRESTS OR SEIZURES MADE. ATTORNEYS HAVE NO KNOWLEDGE OF PRESENT LOCATION OF TECHNICAL EQUIPMENT OR RESULTS OF SUBSEQUENT PD INVESTIGATION. THEY EMPHASIZED THEY HAD NO PERSONAL KNOWLEDGE, THAT THEIR INFO WAS HEARSAY AND SKETCHY AND THAT COMPANY EMPLOYEES WITH BEST KNOWLEDGE WERE ASMANN, RUH, HESSE, HIS ASSISTANTS J. M. GILBERT AND C. J. GOTSCH AND F. RICHARD BLUE, GENERAL PLANT MANAGER. EFFORTS TO CONTACT NYCPD OFFICERS AND NY TELEPHONE CO EMPLOYEES THROUGH ASSISTANT DA ALOYSIUS MELIA UNSUCCESSFUL. THEREAFTER COMM. FRANCIS P. ADAMS AND CHIEF INSPECTOR STEPHEN KENNEDY, NA, NYCPD CONTACTED AND PLEDGED COMPLETE COOPERATION BUT INDICATED DA FRANK HOGAN WAS CONTROLLING CASE AT THIS POINT. THEY INSTRUCTED POLICE OFFICERS TO MAKE SELVES AVAILABLE FOR INTERVIEW BY NYO AS SOON AS RELEASED FROM QUESTIONING BY HOGAN. DA

END OF PAGE TWO

PAGE THREE

FRANK HOGAN CONTACTED, EXPRESSED RELUCTANCE TO INTERVIEW STATING HE DID NOT HAVE COMPLETE FACTS, WAS ENDEAVORING TO OBTAIN SAME BY INTERROGATION OF POLICE AND PHONE EMPLOYEES. FURTHER, THAT AS SOON AS INTERVIEWS COMPLETED THESE PEOPLE WOULD BE AVAILABLE FOR INTERVIEW. INDICATED ON BASIS OF INFO THEN IN HIS POSSESSION HE WAS CERTAIN HE WOULD PLACE RUH AND ASMANN UNDER ARREST BEFORE DAWN FEBRUARY NINETEEN. CHIEF OF DETECTIVES THOMAS NIELSON, DEPUTY CHIEF INSP EDWARD FEELEY AND DETECTIVES COEN AND NORRIS INTERVIEWED FOURTHIRTY AM THIS DATE. FEELEY STATED ABOUT THREE PM FEBRUARY ELEVEN LAST HE RECEIVED REQUEST FROM LOUIS HESSE FOR ASSISTANCE IN INVESTIGATION AT THREE SIX ZERO EAST FIFTYFIFTH ST., N. Y. C. DETECTIVES COEN AND NORRIS ASSIGNED

Feeley, COEN AND NORRIS ADVISED THEY ACCOMPANIED TELEPHONE COMPANY SA J. M. GILBERT AND C. J. GOTSCH TO APARTMENT FOUR M AT ABOVE ADDRESS. THEY WERE ADMITTED TO APARTMENT BY ONE [REDACTED] OF WARREN BARBOUR SHANNON WHO WAS ONLY OTHER INDIVIDUAL PRESENT. SHANNONS ARE LEASES OF APARTMENT. DETECTIVES OBSERVED A LOCKED DOOR TO DOUBLE CLOSET WHICH WAS OPENED BY SHANNON. DETECTIVE COEN ENTERED AND SAW SEVERAL MACHINES WHICH COULD HAVE BEEN WIRE OR TAPE RECORDERS. EXAMINATION THEN MADE BY GOTSCH AND GILBERT WHO ENGAGED IN TECHNICAL CONVERSATION NOT UNDERSTOOD BY COEN. COEN OBSERVED BLACK BOX

END OF PAGE THREE

b6
b7c

N.Y.

~~CORRECTION TO PAGE THREE LINE 11 THE LAST WORD S SHOULD BE "ASSIGNED BY XXXXXX FEELEY"~~

PAGE FOUR

IN CORNER WITH PAPER SLIP ATTACHED WITH NINE MANHATTAN PHONE NUMBERS WRITTEN THEREON, ONE OF WHICH LISTED TO SHANNONS AT STORE AT THREE TWO NINE EAST FORTYNINTH ST. LISTING OF OTHER NUMBERS UN-

KNOWN TO NYCPD AND WILL BE OBTAINED BY N. Y. O. GOTSCH THEREAFTER ADVISED COEN CLOSET CONTAINED EIGHT TURNTABLES, FIFTY REELS, A STOP WATCH, A TESTMETER, SWITCH RELAYS, AUTOMATIC TIME CLOCK AND A RECORD ~~ALBUM~~

COEN THEN ASKED GOTSCH IF HE WOULD PRESS CHARGES AND GOTSCH SAID NO. AT REQUEST OF COEN GOTSCH CALLED HIS OFFICE AND REAFFIRMED FACT NO CHARGES TO BE PRESSED BECAUSE DESIRE TO DETERMINE IF TELEPHONE

COMPANY EMPLOYEES INVOLVED. COEN THEN CALLED CHIEF FEELEY AND RELATED ABOVE, AND WAS INSTRUCTED BY FEELEY TO WITHDRAW FROM PREMISES.

COEN STATES THAT ALTHOUGH HE IS NOT TECHNICALLY QUALIFIED TO STATE IF WIRETAPS IN OPERATION IN APARTMENT, ON LEAVING SAME HE ACCOMPANIED GOTSCH AND GILBERT TO BASEMENT WHERE THEY OPENED PANEL BOX AND

REMOVED SIX LENGTHS OF WIRES. ACCORDING TO CHIEF NIELSON THE NYCPD HAVE NOT RETURNED TO SHANNON APARTMENT SINCE COEN-S AND NORRIS DEPARTURE ON FEB. ELEVEN LAST. ACCORDING TO NIELSON SHANNON

REPORTEDLY NAMED JOHN G. BROADY TO TELEPHONE SA-S GILBERT AND GOTSCH AS HIS SUPERIORS. FURTHER, CARD BEARING NAME OF CHARLES GRIS, A PRIVATE DETECTIVE, FOUND ON PERSON OF RUH WHEN LATTER INTERROGATED BY NYCDA. NIELSON STATES NEITHER RUH NOR ASMANN INTERROGATED BY NYCPD UNLESS INTERROGATED EVENING OF FEBRUARY EIGHTEEN BY DETECTIVES WORKING UNDER DIRECTION OF DA HOGAN. NIELSON ADVISES INVESTIGATION OF STATE OFFENCES NOW UNDER CONTROL OF DA HOGAN WHO ORDERED ARREST

OF RUH AND ASMANN THIS MORNING FOR VIOLATION SEC. ONE FOUR TWO THREE

N.Y.P.L. SUBSECTION SIX, A FELONY CHARGING MALICIOUS MISCHIEF IN

INTERFERENCE WITH COMMUNICATIONS EQUIPMENT. ARRANGEMENTS BEING MADE

THIS DATE FOR INTERVIEW OF TELEPHONE EMPLOYEES LOUIS C. HESSE, J. M.

GILBERT, C. J. GOTSCH, F. RICHARD BLUE. ALSO INTERVIEW DA FRANK HOGAN

AND REVIEW

b7D

IN VIEW OF ARREST OF ASMANN AND RUH NO EFFORT WILL BE MADE TO

INTERVIEW THEM AT THIS TIME. ABOVE INTERVIEWS WILL COMPLETE PRELIMI-

NARY INVESTIGATION AND REPORT WILL BE SUBMITTED.

KELLY

END

~~PLEASE APPRECIATE YOUR MAKING PAGES SOMEWHAT LESS THAN 34 LINES~~

3

2-

~~I SORRY IF YOU WOULD LIKE WILL RERUN NO THEYRE MAINS WAITING
ON IT~~

~~WE WERE SO BUSY WE JUST DIDNT REALIZE WE WLL BE MORE CAREFUL
IN FUTURE QUITE ALRITE TUNNYWAY~~

7-42 AM OK FBI WA RD

M

FEBRUARY 28, 1955

AIRTEL

SAC, NEW YORK (MAIL)

JOHN G. BROADY, WA., ET AL.; UPUC. REREP SA JOHN J. DANAHY, 2/21/55, MADE AT NEW YORK. PAGE 21 OF REFERENCED REPORT REFLECTS THAT LOUIS C. HESSE, SPECIAL AGENT OF THE NEW YORK TELEPHONE COMPANY, WAS INTERVIEWED 2/19/55. DURING THIS INTERVIEW, HE STATED THAT ONE OF THE TELEPHONE COMPANY'S TESTERS NAMED SULLIVAN, WHO IS EMPLOYED AT 104 BROAD STREET AND LIVES IN NEW JERSEY, WAS VISITED AT HIS HOME ON 2/13/55 BY A MAN IDENTIFIED AS STEVE BROADY. BROADY APPROACHED SULLIVAN REQUESTING SULLIVAN TO TEST SOME OF BROADY'S TELEPHONE LINES ABOUT ONCE A MONTH BECAUSE BROADY BELIEVED THEY WERE BEING TAPPED. SULLIVAN REPLIED THAT HE WAS NOT AUTHORIZED TO DO THIS TYPE OF WORK AND THAT BROADY SHOULD TAKE THIS MATTER UP WITH THE TELEPHONE COMPANY OR THE FBI. BROADY SAID HE WOULD NOT TAKE THE MATTER UP WITH THE FBI BECAUSE THE FBI WAS FULL OF COMMUNISTS. REFERENCED REPORT ALSO SHOWS THE FOLLOWING ERRORS: ON PAGE 25 THE WORD "FEEDER" IS INCORRECTLY SPELLED "FEDER." ON PAGE 25 THE INTERVIEW WITH CHARLES GOTSCH, SPECIAL AGENT OF THE

COMM-FBI

FEB 28 1955

MAILED 28

NEW YORK TELEPHONE COMPANY, WAS REFLECTED AS 2/29/55, WHEREAS IT IS OBVIOUS IT SHOULD HAVE BEEN 2/19/55. ON PAGE 30 OF REFERENCED REPORT THE SUBJECT'S NAME IS REFERRED TO AS JOHN E. BROADY, WHEREAS

IT SHOULD HAVE BEEN JOHN G. BROADY. YOU ARE INSTRUCTED TO IMMEDIATELY IDENTIFY THE STEVE BROADY WHO CONTACTED SULLIVAN AND THOROUGHLY INTERVIEW HIM CONCERNING THE STATEMENT WHICH HE MADE THAT THE FBI WAS FULL OF COMMUNISTS. A SIGNED STATEMENT SHOULD BE OBTAINED IF POSSIBLE. WHEN INTERVIEWING BROADY CONCERNING THE STATEMENT

Tolson _____
Boardman _____
Nichols _____
Belmont _____
Harbo _____
Mohr _____
Parsons _____
Rosen _____
Tamm _____
 Sizoo _____
Winterrowd _____
Tele. Room _____
Holloman _____
Gandy _____

HJM:mrs/amh (10)

70 MAR 4 1955

Attachment to Price to Rosen memo 2-25-55 HJM:mrs:amh

ATTRIBUTED TO HIM, YOU SHOULD BE MOST CIRCUMSPECT NOT TO LEAVE THE IMPRESSION THAT WE ARE INVESTIGATING THE WIRE TAPPING CASE SINCE THE DEPARTMENT HAS STATED THAT WE SHOULD CONDUCT NO FURTHER INQUIRIES CONCERNING THE WIRE TAPPING CASE AND INASMUCH AS DISTRICT ATTORNEY HOGAN IS PROSECUTING THE CASE. YOU SHOULD ALSO PROMPTLY SUBMIT APPROPRIATE EXPLANATIONS FROM THE INDIVIDUALS RESPONSIBLE FOR THE ERRORS REFLECTED IN REFERENCED REPORT AS MENTIONED HEREIN-ABOVE. ALSO SUBMIT YOUR RECOMMENDATIONS WITH REGARD TO ADMINISTRATIVE ACTION. THE BUREAU HAS CORRECTED ITS COPIES. YOU SHOULD CORRECT YOUR COPIES ACCORDINGLY.

HOOVER

Office Memorandum • UNITED STATES GOVERNMENT

TO : Director, FBI 139-149

DATE: 2/21/55

FROM : SAC, New York (139-10)

SUBJECT: JOHN G. BROADY, wa; CHARLES GRIS;
 CARL RUH; WALTER C. ASMANN;
 WARREN B. SHANNON
 UNAUTHORIZED PUBLICATION OR USE
 OF COMMUNICATIONS

There is attached herewith the report of SA JOHN J. DANAHY, dated 2/21/55 at New York.

It will be noted that certain discrepancies appear therein, particularly as to the number of persons alleged to have been in the apartment at 360 East 55th Street, NYC, and also a discrepancy concerning the alleged number of telephone lines that were tapped at this address.

In view of the fact that this is a preliminary report, the information supplied by each of the individuals interviewed was set forth as received and no effort was made to reinterview any of these individuals to clear up these discrepancies.

The files of the NYO fail to reflect any identifiable information concerning the individual subscribers whose telephone numbers and subscription lists are set forth in instant report.

With respect to this office's contacts with District Attorney FRANK HOGAN regarding instant matter, the following is being related:

In the late evening of 2/18/55, ASAC A. J. MARCHESSAULT telephonically contacted Mr. HOGAN and indicated that this Bureau had an interest in the alleged wiretapping which had been publicized in the local newspapers on 2/18/55, to determine whether or not a federal violation existed. Mr. HOGAN stated he had been working on the case with his assistants from noon of 2/18/55, and that the interrogation of the detectives and telephone men was not completed and that he did not have all the facts at this time. He stated that he preferred that this office wait until he got all the facts so he could advise us more in detail. He also indicated that if he had to talk to us at this time it would greatly interfere with the conduct of his inquiry, and that although he realized there might be a federal violation, there was a definite

Enc. 39

TGS:EG

ENCL.

RECORDED - 43

SE 44

INDEXED - 43

21 FEB 23 1955

MAR 4 1955

3 copies of Report
 dated 2-21-55 detached
 to ASAC's office & 2 cc to file

EXP-PROC

SIX

Letter to Director
NY 139-10

state violation and that he had to pursue this matter immediately.

On 2/19/55, Supervisor THOMAS G. SPENCER of this office spoke with District Attorney FRANK HOGAN and related to the conversation between HOGAN and ASAC MARCHESSAULT on the evening of 2/18/55. Mr. HOGAN inquired as to what information the FBI desired at this time, and Supervisor SPENCER stated they would like to have any information he uncovered indicating a violation and particularly desired to peruse [REDACTED]
[REDACTED]

b7D

Mr. HOGAN stated he was not at this time in a position to make [REDACTED] available. He continued that he presently had six District Attorneys and a great number of police officers running out leads in this matter,
[REDACTED]

b7D

[REDACTED] he stated he already had made two arrests and that he was pressing his assistants to bring this matter to as quick a conclusion as possible.

He volunteered that probably Senators and Congressmen in Washington were going to ask some questions about this matter, but that he did not see how he could stop all of his investigations at this time to make available to the FBI all the data he had gotten.

As the Bureau was informed by teletype on 2/18/55, Commissioner FRANCIS ADAMS and Chief of Police STEPHEN KENNEDY both communicated with ASAC A. J. MARCHESSAULT and expressed their desire of complete cooperation, but also indicated that this matter was now in the hands of District Attorney HOGAN.

There are attached hereto for the information of the Bureau newspaper clippings from the New York daily newspapers of 2/19 and 2/20/55.

Letter to Director
NY 139-10

As has previously been suggested to the Bureau, it is probable that the Bureau will want to present the facts in this case to the Department to determine whether a federal violation exists or whether further investigation in this matter is warranted.

Therefore, UACB, no further inquiry in this matter will be made by this office except, of course, to advise the Bureau of any pertinent developments that come to the attention of this office.

~~INDEXED~~ 43
lead notes
are
hm

Saturday
Bureau Copies

129-149-13

Wiretappers May Have Had Their Ears on Police Calls

By Joseph Martin and Donald McLennan

Telephone lines leading to the E. 51st St. police station may have been among those monitored from the elaborate East Side wiretap setup in a fourth-floor apartment at 360 E. 55th St., on the southwest corner of First Ave., it was learned last night.

From this apartment, nominally occupied by research and promotion man Warren B. Shannon, the wiretappers had access to lines in the Plaza 3 exchange in which the E. 51st St. station is listed. The gang also could listen in on calls in the Plaza 1 and 5; Murray Hill 8, Eldorado 5 and Templeton 8 exchanges.

The threat to police security was bared along with a revelation that extensive wiretapping operations had been conducted by the gang "for several years." This information was supplied by two suspended telephone company employees, according to William B. Keating, counsel for the New York City Anti-Crime Committee.

The two employees were among four persons found in the apartment when special agents of the phone company, accompanied by two city detectives, raided the premises — without a warrant — Feb. 11.

The new disclosures came as the

district attorney's office — which knew nothing of the raid before reading about it in THE NEWS — took over from Police Commissioner Adams the task of figuring out why no arrests were made.

Also officially entering the wiretap probe was the FBI. "We are conducting an investigation to determine whether there is a violation of federal law," said James J. Kelly, special agent in charge of the New York office.

"I don't know if any crime was committed," the DA told reporters.

But at 2:30 this morning, after several persons had been questioned during the evening, Assistant District Attorney Andrew Seidler told reporters the facts will be presented to a grand jury beginning Monday.

Malicious Mischief

"They can then ascertain whether there has been a violation of the law," Seidler said. He added that it was "possible that we may have an arrest" today or tomorrow.

To establish the crime, which under the law constitutes malicious mischief and is punishable by up

to two years in jail, authorities must show that wiretap equipment was actually used to cut in on a phone line. Possession of such equipment is not a crime.

Shannon was not at home yesterday. Neighbors said he had lived in the place about a year and from it also operated the Shannon Research & Promotion Service as well as Shannon Rentals, specializing in lighting equipment.

They added that their own telephone service had been faulty in recent months.

Bookmakers Not Involved

It was the phone company, which tipped off police to the wiretap center, according to the DA. Acting on the tip, two Manhattan East detectives accompanied by two company representatives visited the place and found four persons there in the midst of the wiretap equipment.

Earlier Adams turned aside most questions about the case and reluctantly admitted that the DA had taken over. He did deny, however, that bookmakers were involved.

CLIPPING FROM THE

N.Y. NEWS

FEB 19 1955

FORWARDED BY N. Y. DIVISION

139-149-13

Mahoney Promises Wiretap Study

By JAMES DESMOND

(Staff Correspondent of THE NEWS)

Albany, Feb. 18.—Sen. Walter J. Mahoney, Republican leader of the upper House, pledged today that the GOP will give "careful consideration" to a legislative investigation of illegal wiretapping as revealed in a raid on an East Side flat in New York.

The Senator's comment was made after it was disclosed that George H. Sibley, onetime campaign manager for William Donovan in his bid for the U.S. Senate, was one of the victims in the illegal wiretapping on the East Side.

A Surprise to Him

Sibley expressed surprise that anyone would be interested in his phone calls, but said he would check the situation with John G. Broady, the lawyer involved in the attempt to tap the phones of ex-mayor William O'Dwyer some six years ago.

Sibley said he had used Broady's legal services many times, but that he couldn't understand why anybody would want to hear what he said on the phone.

Made Secret Raid

Sibley, a former head of the Young Republicans, lives at 9 E. 81st St. where Paul Lockwood, now a public service commissioner and former confidential aid to ex-Gov. Dewey, is also a resident.

Earlier, Sen. Mahoney took the

ception that was bared when New York police made their secret raid on a flat at 360 E. 55th St. last Friday.

"Undoubtedly a resolution investigating the subject will be introduced," Mahoney said. "I'm studying the matter very carefully."

lead in digging into the illegal wiretapping and electronics inter-

The Wire-lap Snoopers

It is a scandalous state of affairs when the snooper of private wire-tapping becomes so well-established and technically proficient that it can eavesdrop at will on practically every conversation coursing through half-a-dozen East Side telephone exchanges. Yet this is the sum of the first revelations as reported in this newspaper yesterday on the basis of findings by the New York City Anti-Crime Committee.

The public should bear in mind that such wire-tapping bears no relation to the authorized listening permitted in this state under safeguards to law-enforcement agencies for the catching of criminals. That, on the whole, has worked well.

But illegal wire-tapping is something else. This is the organized business of

listening in for private gain on parties who are unaware of the secret intrusion. The purposes can be many—blackmail, discovery of business secrets, getting leads for a divorce suit, swindling of all sorts, and so on through the catalog of criminality. All of it is criminal, or ought to be, although it appears that law has not kept up with electronic advances.

Now this situation obviously calls for thoroughgoing exposure and legislation that will effectively prohibit all unauthorized wire-tapping. The penalties should be severe and apply to every person implicated. Sending a few "private eyes" to Sing Sing along with their accomplices and employers should serve to instill a wholesome respect for the law-abiding public's rights on the telephone.

Late City
CLIPPING FROM THE
N.Y. HERALD TRIBUNE

Y.
DATED FEB 19 1955
FORWARDED BY N. Y. DIVISION

F. B. I. and Hogan Start Probes Into Phone Taps

By Milton Lewis

The Federal Bureau of Investigation and District Attorney Frank S. Hogan began investigations yesterday into the wire tapping mill uncovered last week in an East Side apartment.

James J. Kelly, agent in charge of the F. B. I. office in New York, said his inquiry was to determine if there had been any violation of Federal law.

Simultaneously, both state and Federal officials indicated they would press for legislative inquiries to check reports that similar illegal tapping has been going on here on a huge scale.

No arrests have been made nor identities disclosed of principals in the case which began Feb. 11 when police and agents of the New York Telephone Company raided the apartment at 360 E. 55th St., near First Ave. It was determined yesterday that the raiders did not have a warrant. Authorities were still reluctant yesterday to fill in details of the raid in which four persons, including two telephone company employees, who have been suspended from their jobs, were found. The New York City Anti-

Crime Committee, a civic organization, which made the story public on Thursday, said however, that \$10,000 worth of equipment in the apartment was used to tap telephones in the midtown area in exchanges Plaza 1, 3 and 5; Murray Hill 8; ELdorado 5 and TEMpleton 8.

Unanswered questions included: Whose telephones were tapped? Why were they tapped? Police, Mr. Hogan's office and the telephone company were silent on those points. William B. Keating, counsel to the Anti-Crime Committee, could only point out that illegal wire taps have been used to obtain information for divorce cases and business rivalries.

At 1 a. m. today, however, Mr. Hogan issued the following statement:

"Thus far we have questioned a number of persons. It looks as if we would question more during the remainder of the night. We have ascertained, contrary to public reports, that the operation was local in nature. Our information is that only one telephone exchange is involved—the Plaza exchange—and that over a period of five months interceptions were made on about fifteen telephone numbers, six at a time."

Mr. Hogan first learned about the wire-tap mill through the newspapers and communicated with Police Commissioner Frank

Continued on page 4, column 1

Late City

CLIPPING FROM THE
N. Y. HERALD TRIBUNE

N. Y.
DATED **B 19 1955**
FORWARDED BY N. Y. DIVISION

Wire Tapping

(Continued from page one)

cis W. H. Adams and Mr. Keating for information. At a press conference at Police Headquarters, Mr. Adams referred most questions to Mr. Hogan.

But Mr. Adams did give out these bits of information:

Recently the telephone company notified the Police Department that it suspected a large tapping operation was going on at 360 E. 55th St. At 6:30 p. m. on Feb. 11, two detectives and two special agents of the telephone company went to the apartment. The two agents were J. N. Gilbert and C. J. Gotsch, who were assigned by Chief Special Agent Louis Hess.

They found two telephone company employees there and, besides the tapping equipment, a closet containing tape recordings of conversations. The two employees reportedly made the tap installation. When the telephone company was asked if they had confessed, said: "They were suspended for good cause."

"Was any of the equipment confiscated?" Mr. Adams was asked.

"No comment," he replied.

Forego Arrests

It was learned from another source that the two police officers, realizing they were in the apartment without a warrant, decided it might be best for all concerned not to arrest anybody. While they were there, the couple who live in the apartment walked in. The two telephone agents assisting the raid reportedly were in agreement not to arrest any one. It was also understood that they took no equipment with them—but reported the facts to the telephone company.

Mr. Hogan first questioned Deputy Chief Inspector Edward Feeley, in charge of East Side detectives. Then he called in Mr. Hess, the chief special agent, and his two aids.

It is expected that he will also call in the two detectives who took part in the raid, the couple who occupy the apartment, and the two suspended telephone company employees.

Mr. Hogan, at a press conference, stressed that the initial aim of the inquiry—after he gets all the facts—is to establish whether a crime had been committed.

Violation of Law

He pointed out that illegal tappers violate the malicious mischief section of the penal law and are punishable upon conviction by two years in jail.

To establish the crime of illegal tapping, the prosecutor noted, it must be shown that the equipment was in use and that "cuts" or taps into telephone wires had been made. The violation, he said, is tampering with the telephone wire, but possession of such equipment is not a crime.

He quoted Section 1423 of the Penal Law, which makes it a crime for anyone to "unlawfully and wilfully cut, break, tap or make connection with any telegraph or telephone line, wire, cable or instrument, or read or copy in any unauthorized manner any message, communication or report passing over it in this state . . ."

He explained that the law does not cover new electronic devices which can record telephone conversations without tampering with the telephone. Such operations, he said, are more in the nature of a Peeping Tom device. It is this sort of eavesdropping which the Anti-Crime Committee hopes to get included in a new wire tap law.

Technical Questions

"We must get a dozen technical questions answered to get a true picture of what occurred," Mr. Hogan said.

It was not this "eavesdropping" device which was used in the East Side flat, which contained the most difficult to operate of all wiretap methods used by illegal tappers. The system is known as "backstrapping."

In this method, a tap is placed on the main frame of the telephone company and fed to a convenient location. According to Mr. Keating and John O'Mara, executive director of the Anti-Crime Committee and a former F. B. I. agent, such illegal taps are impossible without the co-operation of telephone company employees.

Information on last week's raid was first supplied to the State Legislature on Thursday night by Mr. Keating. Yesterday, Sen. Walter J. Mahoney, Republican majority leader, reached by telephone in Buffalo, said:

"We are studying the situation. Undoubtedly a resolution

investigating the subject will be introduced. I am studying the matter very carefully. I cannot at this time indicate whether this will be a Republican program. But you can be sure it will have careful consideration." Illegal wiretapping has become so prevalent, that Police Commissioner Adams said:

"My phone at headquarters and at home is checked for possible taps every morning and every night. That's been customary for a long time."

Last night, a representative of the New York Telephone Co. explained its stand on illegal wiretapping as follows:

"We don't like wiretapping."

"We regard privacy of communications as a fundamental right of every telephone user. It is a foundation stone of the telephone industry. We train and admonish our people to protect the customer's right of privacy."

"Every employee who comes to work for the telephone company is required to read the section of the Federal and state statutes on secrecy of communications and to sign a pledge to obey them."

"In the current case, information came to our attention which led us to believe there are irregularities on the part of two of our people. After investigation, we immediately suspended these men pending discharge for improper use of telephone facilities."

"We are co-operating fully with the law enforcement agencies to make sure that everything is done that can be done to safeguard the privacy of communications. No one has a greater stake in this than the telephone company."

Hint Wiretapping Net Extended To All N. Y. Boroughs

By WILLIAM HENDERSON and ERWIN SAVELSON

A strange aura of mystery continued Friday to becloud last week's extraordinary hush-hush raid on a huge phone wiretapping center at 360 E. 55th St., as unofficial reports indicated the practice was so widespread that it reached into every section of the city and Police Commissioner Adams' own lines were checked twice daily as a precaution.

Reaction to disclosure that a vast illegal wiretapping headquarters existed in the heart of Manhattan was swift in both Albany and Washington—with state legislative and Congressional leaders calling for penetrating probes into the practice. None of the occupants of the raided apartment was arrested, it was explained, because "we don't know if any crime was committed." While District Attorney Hogan's office investigated to determine whether state laws had been violated, the FBI stepped into the case on the chance that Federal law might have been broken.

THE POLICE themselves, as well as the District Attorney's office, gave a few details of what actually was found at the center, revealing the address but artfully dodging all queries that might reveal to the public what equipment was used to tap phones on six exchanges covering an East Side area from 36th to 96th St.

Republican State Senate Majority Leader Walter J. Mahoney, of Buffalo, declared that a resolution calling for a special probing committee would soon be introduced, while in Washington, Sen. Ives said he will seek Congressional action to determine whether tighter Federal anti-wiretap laws are needed.

Amidst all, meagre information filtering out of unofficial channels reported, known racketeers had discovered their wires were being tapped and, in turn, hired detectives to track down the tappers.

Final
CLIPPING FROM THE

N. Y. N.Y. MIRROR
DATED FEB 19 1955

FORWARDED BY N. Y. MIRROR

Hint Wiretap Net Reached To Every Part of New York City

Continued from Page 2

ONE NEW BIT OF information emerged from press conferences with Adams and the District Attorney's office:

The raid on the 55th St. center was carried out by two detectives attached to the staff of Deputy Chief Inspector Edward Feeley, commander of detectives on Manhattan's East Side, and two "special agents" of the N. Y. Telephone Co. Feeley acted upon information provided by Louis Hess, chief special agent, of the phone company, who had received complaints of a wiretapping operation.

Beyond telling newsmen that his own wires are checked "twice a day" against wiretapping and that Mayor Wagner's wires are similarly checked as a "routine" matter, Commissioner Adams shed little light on the 55th St. operation.

However, an informed source said wiretapping was taking place in all boroughs, with particularly heavy activity in Manhattan.

BOTH FEELEY AND Hess were called to the District Attorney's office for conferences with Assistant District Attorney Aloysius Mella, of the Rackets Bureau, who has been placed in charge of the probe.

In addition to Feeley and Hess, the District Attorney's office also questioned two phone company experts who joined detectives in the raid. The two were identified

as J. M. Gilbert and C. J. Dotsch, aides of Hess.

Commissioner Adams declined to say if any equipment was confiscated in the raid. However, he did state that he did not believe the equipment in the raided premises was of the "electronic" type.

The Commissioner also declined to tell on what floor the apartment was located or how many rooms it occupied, though he did say the suite was furnished "for living purposes." When the detectives entered there were several persons present, "more than two and less than six," he added. He acknowledged recording machines and other equipment were found, but referred most queries to the District Attorney's office.

THE COMMISSIONER said the District Attorney was not advised in advance that the detectives planned to visit the apartment, but said, "he (the prosecutor) knows about it today." Adams replied, "No comment," when asked if a private detective agency was involved in the center's operation.

He stressed the fact that the Police Department was in no way involved with the center's operation, adding "only outside individuals are involved." But he said he did not know their identities.

In Washington, Sen. Ives said such widespread eavesdropping as reported in New York was a "grave danger to security."

MEANWHILE, the N. Y. City Anti-Crime Committee, continued to claim the 55th St. center was set up for extortion and also to enable big business men to get the drop on competitors.

Two men found in the 55th St. apartment reportedly told detectives they were phone company employees and that

they were hired by "detectives." Later, the phone company announced suspension of two employees for unauthorized use of equipment.

A N. Y. TELEPHONE Co. official said the company's policy in regard to illegal wire tapping is "Simple and direct."

"We don't like wire-tapping," he said. "We regard privacy of communications as the fundamental right of every telephone user. We train and admonish our people to protect the customer's right of privacy. Every employee who comes to work for the telephone company is required to read the sections of the Federal and state statutes on secrecy of communications and to sign a pledge to obey them."

"In the current case, information came to our attention which led us to believe there were irregularities on the part of two of our people. After investigation, we immediately suspended these men pending discharge for improper use of telephone facilities."

"We are cooperating fully with the law enforcement agencies to make sure that everything is done that can be done to safeguard the privacy of communications."

F. B. I. HOGAN OPEN WIRETAP INQUIRIES

Hunt for Evidence of Crime
at Center That Listened In
on Six Phone Exchanges.

Federal and local investigations of wiretap operations in an East Side apartment house were begun yesterday.

The Federal Bureau of Investigation began an inquiry to determine whether Federal law had been violated. The East Side area includes the United Nations and most of the foreign consulates here. District Attorney Frank S. Hogan started an investigation to find out whether the state law was involved.

James J. Kelly, special agent in charge of the F. B. I. office here, announced his organization's interest in the case.

The parallel investigations began after the wiretap discovery had set off repercussions in Washington, Albany, Police Headquarters and the offices of the New York City Anti-Crime Committee at 270 Park Avenue. Up to last night no arrests had been made and no wiretap equipment had been seized.

Existence of the wiretap equipment came to light on Feb. 11 when policemen visited apartment 4 W at 360 East Fifty-fifth Street. The police, acting upon information furnished by the New York Telephone Company, were directed by Deputy Chief Inspector Edward Feeley, commanding Manhattan East detectives. Two police detectives and two telephone company investigators visited the apartment.

Police Commissioner Francis W. H. Adams said yesterday that the equipment found in the apartment was still there. "More than two but less than six persons" were in the apartment, he added.

William J. Keating, counsel of the Anti-Crime Committee, said two men and two women had been operating ten wiretaps at the apartment. He charged the

Late City
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N.Y. TIMES

FEB 19 1955

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F. B. I., HOGAN OPEN WIRETAP INQUIRY

Continued From Page 1

police were "covering up" for the telephone company because two telephone employees were involved.

The Anti-Crime Committee, a private organization headed by Spruille Braden, former United States Ambassador to Latin American countries, said \$10,000 of the most modern eavesdropping and recording equipment was in the apartment. The set-up was extensive enough, a spokesman added, to tap any conversation in the area from Fifth Avenue to the East River between Thirty-sixth and Ninety-sixth Streets.

The six telephone exchanges in that area are Templeton 8, Plaza 1, 3 and 5, Murray Hill 8, and Eldorado 5. Mr. Keating said he believed the wiretaps were operated both for extortion and for getting information, so that big business men could take advantage of their competitors.

A telephone company spokesman said the two employees, unidentified, had been under suspension since the Feb. 11 discovery.

"We regard privacy of communication as the fundamental right of every telephone user," the company said.

In Washington, Senator Irving M. Ives, Republican of New York, suggested a Federal investigation to determine whether tighter laws against wiretapping were needed.

In Buffalo, Walter J. Ma-

honey, Republican majority leader of the State Senate, said "undoubtedly a resolution calling for a legislative investigation" of wiretapping would be introduced in Albany at the current session.

Mr. Hogan said he had received information both from Police Commissioner Adams and Mr. Keating as the basis for a Rackets Bureau investigation.

Last night Andrew Seidler, spokesman for Mr. Hogan, said:

"At this stage of the investigation we have ascertained, contrary to published reports, that this operation was local in nature. Our information is that only one telephone exchange is involved—the Plaza exchange—and over a period of five months interceptions were made on about fifteen telephone numbers—six at a time."

The police investigation received no publicity for almost one week after it was made. On Thursday, the facts came to light after the New York City Anti-Crime Committee had submitted a memorandum to legislative leaders asking for new and more stringent anti-wiretapping laws.

Hound in Raid On East Side Listening Post

Hogan Quizzes 10
Throughout Night

By JOHN FERRIS,
Staff Writer.

Two New York Telephone Co. employees who allegedly played important parts in setting up the biggest wire-tapping operation ever uncovered in New York were arrested today and booked at the Elizabeth St. station on charges of malicious mischief, a felony.

District Attorney Frank S. Hogan had the men placed in custody after questioning them for hours. Eight other persons also were interrogated during the night.

The telephone men, picked up in their homes last night, were not booked until 5:20 a.m. today. They are Carl R. Ruh, 30, of 3336 Decatur Ave., Bx., and Walter Asmann, 29, of 145-81 175th St., South Jamaica.

To Be Arraigned.

Ruh, a phone company employee for seven years, is a tester. Asmann is a "frame man," the man who makes connections in the exchanges to subscribers' phones. From the Elizabeth St. station the men were taken to Police Headquarters. Later they will be arraigned in Felony Court.

Ruh and Asmann were in the fourth floor apartment at 360 E. 55th St., on the evening of Feb. 11 when it was raided and the huge eavesdropping and recording job discovered.

So extensive was the operation that telephones could be tapped in an area bounded by Fifth Ave., the East River, 36th and 96th Sts. The equipment found in the apartment was valued at \$10,000.

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ATED FEB 19 1955

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Seven Days Elopse.

"All the facts in the case" will be presented to a New York County grand jury on Monday, Mr. Hogan's office said. The district attorney was moving fast, though belatedly. For it was not until yesterday, seven days after the raid, that Mr. Hogan learned of the wire-tapping.

As Mr. Hogan began his inquiry, he called in for questioning Deputy Chief Inspector Edward Feeley, commanding Manhattan East detectives; Louis Hess, chief special agent of the New York Telephone Co., and two phone company investigators, J. N. Gilbert and C. J. Gotsch.

It was these two investigators, with two city detectives, who went to the East Side apartment on Feb. 11. The telephone company itself informed police of the equipment. Police Commissioner Francis W. H. Adams said yesterday there were "more than two but less than six persons" in the apartment when the raiders entered.

But no arrests were made and the equipment was not seized.

Ten Taps.

William Keating, counsel of the Anti-Crime Committee, a civic organization, of 270 Park Ave., said two men and two women had been operating 10 wiretaps in the apartment and charged the police were cover-

2 Telephone Men Held in Wiretaps

Continued From Page One

ing up for the telephone company because company employees were involved.

From another source it was learned that the detectives had neglected to obtain a search warrant and, once in the apartment, decided it was better to make no arrests. The Anti-Crime Committee itself broke the news.

The big question was: Whose telephones were tapped?

It was pointed out that the United Nations and most of the foreign consulates are in the area covered by the wiretapping operations, but Mr. Hogan's office said early today that "the operation was local in nature" and involved only the Plaza exchange.

U.N. Not Tapped.

U.N.'s telephones are on the Plaza exchange, but the Dis-

trict Attorney's office said that "indications that the U.N. telephones were involved is now out the window." There was nothing to substantiate such reports, it said.

"Our information is that . . . over a period of five months interceptions were made on about 15 telephone numbers, six at a time," the District Attorney's office said.

Mr. Keating said he believed the wiretaps were operated both for extortion and for getting business information.

Mr. Hogan, talking to reporters yesterday, said "We must get a dozen technical questions answered to get a true picture of what occurred."

Meanwhile, the FBI also began an inquiry to determine if any federal law had been violated.

Bureau
Copies

Sunday

Key Figure in Wiretap Scandal Gives Self Up

By Joseph Martin and Donald McLennan

Target of a 13-state police search, Warren B. Shannon, 30, key figure in the current wiretap scandal, voluntarily surrendered to the district attorney's



(NEWS photo by Edward Glorandino)

Suspended phone company employees Walter Asmann (left) and Carl E. Ruh (right) are booked in Elizabeth St. station on wiretapping charges. Between them is Detective John McNichol.

Office here yesterday and was ordered arrested on a wiretapping charge. The offense is a felony under the malicious mischief section of the penal code.

Shannon, of 360-E. 55th St., gave himself up some hours after the multi-state police alarm was sent out for him. He went to the DA's office with his attorney.

Final

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- N.Y. NEWS -

FEB 20 1955

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After being booked at the Elizabeth St. station at 7:30 P. M., Shannon was taken to Police Headquarters, fingerprinted and put in a cell. But he was spared the inconvenience of a night behind bars.

His lawyer, Martin Gitlin of 42 Broadway, hurried into Night Court with a request for bail. Magistrate Harry Serper, who was on the bench, set the figure at \$1,000 and shortly after 11 o'clock Shannon was released. He will be arraigned this morning in Weekend Felony Court.

Already under arrest at the time of Shannon's surrender were two suspended telephone company employees.

Shannon gave himself up as the New York City Anti-Crime Committee revealed it was probing a

"corrupt alliance" of cops, telephone men and "a small group of illegal wiretappers."

It was that committee which first disclosed the secret police raid made Feb. 11 on Shannon's apartment, where equipment capable of tuning in on all telephones in six East Side exchanges was found.

"The best corroboration in the world of our information is the fact that until today there had been no arrest for illegal wiretapping since the City Hall incident during the O'Dwyer administration," William Keating, committee counsel, said.

"Even in that case no one was convicted."

Keating added that his group also was checking reports that two cops caught using an illegal wiretap during the last year were slapped on the wrists by being transferred to Queens.

Informed of Keating's statement,

a New York Telephone Co. spokesman replied:

"If Mr. Keating has evidence of such an alliance, he should present it promptly to the appropriate law enforcement agency. As we said yesterday, no one has a greater stake in preserving the privacy of communication than the telephone company."

In another development, it was revealed that an Anti-Crime Committee electronics consultant had been approached to tap the wire of a New York City District Attorney.

Bernard B. Spindel, electronics expert and veteran investigator, said last night that about 18 months ago he was asked by underworld characters if he was interested in a profitable deal involving the installation of wiretap equipment. Spindel demanded to know the exact nature of the work and

See clipping #19 + 20
NY Journal
2/20/55

Wiretap Probe Turns To 'Corrupt' Cop Deal

(Continued from page 2)

tions in the exchanges to subscribers' phones.

After questioning them and 10 other persons throughout the night, Assistant District Attorney Aloysius Melia said the pair had "made 35 interceptions" of phone calls during the last five months.

Tapping Done in Plant.

The actual wiretapping was done in the telephone company plant with the listening-in being carried on at the 55th St. address, Melia explained. He did not go into details as to how this was accomplished.

Another DA spokesman disclosed that "we will make enough progress over the weekend to begin presentation of all facts to the grand jury on Monday."

Asmann's father, who appeared in court but refused to give reporters his first name, said he had been employed by the phone company 40 years and that his son, a Korean war veteran and the father of two children, had worked for the firm seven years.

Ruh also is married and is the father of one child. His relatives also were in court.

Description Given

The police alarm described Shannon as 5 feet 6 with brown hair and eyes and weighing 180 pounds. His wife, Kathleen, 20, is 5 feet and weighs 110, according to the alarm.

Heartbroken at the news, Mrs. Constance Shannon told neighbors she was "through with him."

She sobbed before leaving for the store where she is employed as a clerk.

"He's a big boy now and he will have to pay for what he has done," she declared.

Mrs. Shannon had been in Florida where the wife of her other

son, a Navy man, gave birth to a daughter recently.

A widow for 20 years, she said Shannon lived with her until about a year ago when he moved out following arguments over "the way he cluttered up this small apartment with electronics equipment."

After Shannon's departure his mother had the locks of her apartment changed and gave orders to the janitor not to admit her son if he called. She said Shannon and Ruh had been friends for years and that Ruh had tried to contact her son by telephone at her apartment Friday night.

Shannon studied electronics in the Bronx public schools and then worked for several concerns before setting up Shannon Rentals, which specialized in lighting equipment, and the Shannon Research & Promotion Service at the 55th St. address.

Private Sleuth Talks

Charles V. Gris, a private sleuth, of 225 W. 57th St., who figured in the investigation of the Rubinstein murder case, denied reports that Shannon worked for him at the time of the raid. He described Shannon as a "dreamy" individual whom he hired for a single job about two years ago.

"I'd like to know how this guy (Shannon) ever got in this business," Gris declared.

On the job two years ago, Gris said he borrowed from Shannon a truck equipped with one-way glass for use in surveillance work.

Only 6 Taps at Time

Although it disclosed that four persons were in the Shannon apartment at the time of the raid, the district attorney's office identified

only two of them—Ruh and Asmann.

The DA likewise disclosed that only six taps were actually being made in the 55th St. apartment when the cops called.

Keating claimed that five of these six were on the phones of executives of E. R. Squibb & Sons, at 745 Fifth Ave.

Mrs. Shannon B. Shannon

Bethel Shannon

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(NEWS foto. by Bill Quinn)
Warren Shannon, 30, is booked for illegal wiretapping at Elizabeth St. Station.

2 MEN ARE SEIZED IN WIRETAP CASE; A 3D SURRENDERS

Phone Aides and Apartment
Lessee Are Linked With
35 Interceptions Here

Two suspended employees of the New York Telephone Company and a film electrician were arrested yesterday in the District Attorney's investigation of wiretapping.

District Attorney Frank S. Hogan ordered the telephone men held early yesterday morning. Both had been under company suspension since a police investigation on Feb. 11 had disclosed wiretap and recording equipment in Apartment 4W at 360 East Fifty-fifth Street. At that time, no equipment was seized, and none of the apartment's four occupants were arrested.

Late yesterday afternoon the third man, Warren B. Shannon, 30, lessee of the apartment, surrendered at the District Attorney's office. For most of the day he and his wife, Kathleen, 20, had been sought with a general police alarm.

Booked on Wiretap Charge

Mr. Shannon, who was accompanied by his attorney, was questioned by Assistant District Attorney Aloysius J. Melia. He was booked at the Elizabeth Street station on charges of violating Section 1423 of the Penal Code, dealing with illegal wiretapping.

He will be arraigned today in Week-End Felony Court. Mr. Shannon said he was a film electrician, with a business at 320 East Forty-ninth Street.

At the arraignment yesterday of the two telephone employees in Felony Court, Mr. Melia said they had made thirty-five interceptions in the East Side apart-

ment since June, 1954. The two were released in \$1,000 bail each to wait hearings Thursday on malicious mischief charges similar to those brought against Mr. Shannon.

The two are Carl R. Ruh, 30, of 3336 Decatur Avenue, the Bronx, and Walter Asmann, 29, of 145-81 175th Street, South Jamaica, Queens. Both are married. Mr. Ruh was employed as a telephone tester, and Mr. Asmann as a "frame man" who supervised connections from telephone exchanges to the individual lines of subscribers.

Accusation by the Company

The complaint against them says that at the telephone company office at 228 East Fifty-sixth Street "they did willfully displace, remove, injure and destroy a line of telephone cable material" and "did cut, break and tap" such a line, making connections with the wires in the East Fifty-fifth Street apartment. Mr. Shannon, as the occupant of that apartment, is believed to know details of the operation.

Mr. Hogan's office said the tapping was done in the telephone company office, and the listening-in was done in the Shannon apartment.

The district attorney said the tapping operation, at first believed to be widespread, had been narrowed down to one of the East Side telephone exchanges. Official sources were silent, however, on the purpose of the wiretaps.

According to William J. Katig, counsel for the privacy

Continued on Page 59, Column 3

Late City

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3 MEN ARE SEIZED IN WIRETAP CASE

Continued From Page 1

operated New York City Anti-Crime Committee, five of the active interceptions were on lines of officials of the E. R. Squibb & Sons pharmaceutical concern at 745 Fifth Avenue. Mr. Keating said, however, that the committee had no information on the purpose of those taps.

East Friday, Mr. Keating had said the interceptions might have been used for extortion, and as a means of giving business concerns secret surveillance over competitors.

"It is not likely that either blackmail or extortion is the purpose behind the taps on the phones of five Squibb executives," Mr. Keating said yesterday. "The circumstances make it appear that business intelligence may have been the reason behind them."

The counsel said he did not see how a crime could be established unless the police had confiscated recording equipment and recordings.

Detectives from Mr. Hogan's office searched the Shannon apartment under a warrant issued yesterday by General Sessions Judge Jonah Goldstein. Some of the equipment seen on the first police visit was not there yesterday. An agent of the telephone company said that the conventional tapping equipment now in the apartment was worth about \$2,500.

The Federal Bureau of Investigation, which began an inquiry on Friday, reported yesterday that its investigation was continuing. Its purpose is to determine whether any Federal law has been violated.

Upon release from City Prison on bail, the two telephone men refused to talk to reporters. Mr. Asmann said he had told everything to the District Attorney.

His father, who declined to give his first name, said he had been a telephone company employe for forty years. He said his son had never before been in trouble.

Members of the Anti-Crime Committee will be in Albany tomorrow to confer on their

Suspects in Wiretap Investigation



Carl R. Ruh



Walter Asmann

The New York Times



Warren B. Shannon

The New York Times

proposals for new and tighter state laws against wiretapping with leaders of the Legislature.

Wiretap Raid

New York State law authorizes the police in line of duty and under proper safeguards, to tap telephone wires and listen in on private conversations. Unauthorized wiretapping is a crime subject to two years imprisonment. But the law has a loophole. It establishes the actual tapping of the wire as illegal but says nothing about the use of new electronic devices which permit eavesdropping without a tap. Thus, a great deal of wiretapping is said to be done by, among others, private detectives in search of divorce evidence, business rivals eager to listen in on each others secrets, and blackmailers.

Last Thursday, the New York City Crime Committee, a private group, revealed that city police had raided one of the largest wiretap operations ever uncovered. In a Manhattan apartment, the police found four operators and \$10,000 worth of the eavesdropping equipment—enough to tap conversations in half of New York's midtown area. Two New York Telephone Company employees were suspended, but there were no arrests.

On Friday, District Attorney Frank S. Hogan confirmed the reports and the lack of arrests. The problem, he said, is to establish whether a crime had been committed. Yesterday, the two telephone employees were arrested and an alarm sent out for another.

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Senate Inquires Into Wiretapping

By ALVIN SPIVAK

WASHINGTON, Feb. 19 (INS). — A Senate investigation is underway to track down reports that telephone wires of Federal officials in Washington are being tapped.

Sen. McClellan (D-Ark), said his investigations subcommittee is looking into the matter. He said it has not determined yet whether information obtained by the staff warrants public hearings.

The Senator indicated the inquiry might be broadened by discovery in New York of a wiretap ring believed capable of illegally tapping thousands of telephones in New York's midtown East Side.

MAY HAVE AUTHORITY

He said either his group or the Senate Internal Security subcommittee might have authority to make a first-hand inquiry.

He would not name any Washington officials who might be among victims, nor say how widespread the practice would appear to be. He said his committee would include the New York operation in its inquiry only if Federal officials also had been victimized there.

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Disclose Bid to Tap DA Phone

Expert Reveals Criminals' Offer

By GUY RICHARDS and HERMAN APPELMAN

A widely-known electronics expert yesterday revealed to the N. Y. Journal-American that he had been approached by intermediaries for underworld figures to tap the phones of a "District Attorney" and other law enforcement agencies in New York City.

The expert, a member of the N. Y. City Anti-Crime Committee staff of consultants, also disclosed it was the "accepted practice" of certain private investigators to hand out "gratuities" to various policemen when illegal wiretaps were installed.

These statements came as the wiretap scandal, touched off by the secret Feb. 11 raid on a "listening post" at 360 E. 55th st., blew wide open with the arrest of two telephone company employees.

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Disclose Attempt To Tap DA Phones

By GUY RICHARDS and HERMAN APPELMAN

Continued from First Page

line of telephone cable material" and "did cut, break and tap" such a line, making connections with wires or cables at 360 E. 55th st.

EXCHANGES AFFECTED.

By doing the tapping at the telephone office, the wiretappers were able to eavesdrop on conversations over at least 200,000 private lines, covered in six telephone exchanges. These exchanges were Eldorado 5, Plaza 1, 3 and 5, Murray Hill 8 and Templeton 8.

The area covered from the 30s to the 90s from 5th ave. to the East River and took in the United Nations and much of Manhattan's swank residential and business sections.

The two telephone company employees, who were charged with "malicious mischief, a felony," for alleged wiretapping and held in 1,000 bail each for hearing next Thursday, are:

Carl R. Ruh, 30, married, a tester, of 3336 Decatur ave., Bronx, described as ringleader of the wiretap operation. Although employed by the phone company, Ruh also is reported to hold credentials as a private investigator.

Walter Asmann, 29, married, of 145-81 175th st., So. Jamaica, a "frame man." It was explained a frame man makes connections in a telephone exchange to subscribers' phones.

The Anti-Crime Committee consultant who has been investigating the "hush hush" police raid on the E. 55th st. apartment is Bernard B. Spindel, a veteran investigator with a World War II Army Signal Corps record. Spindel has a reputation for refusing to work any but legal telephone intercepts and said he has incurred police enmity because of his refusal to "pay off." Spindel told the Journal-American yesterday:

"About 18 months ago a pitch was made to me in connection with a tap on a District Attorney's phone.

"A person asked me if I was interested in making some money.

"I told him I was always interested in making money, if it was legitimate.

"Then he asked me if I would be interested in personally supplying and installing wire-tap equipment in what was a very warm situation.

"I said: 'What do you mean?'

"He answered that it was in the field of politics."

WASN'T INTERESTED.

"I told him I wasn't interested in any political work. That ended it as far as I was concerned.

"About a week later I ran into him and asked him to come clean and tell me what the job was; that he had talked to me about. In other words, whose wire was to have been tapped.

"His answer was 'The DA.'

"He would not tell me which District Attorney he meant. Frankly, I didn't believe this man knew which District Attorney was to be the victim of the wiretap."

Because it would "hinder the investigation at this time" enforcement agencies" which Spindel refrained from revealing details about the "other law were to be tapped.

Spindel characterized the raid on the 55th st. apartment as "an action that backfired.

He added: "I believe the police got a tip that I was operating the 'wiretap factory' at 360 E. 55th st. I guess they were jubilant because they felt that now it would be curtains for me.

Five of the active wiretaps in operation at the time of the raid were on the telephones of officials of the R. R. Squibb and Sons Chemical Firm, with offices at 145 5th ave., it was announced by the Anti-Crime Committee.

The purpose of the Squibb wiretaps was not known to the Committee.

Dist. Atty. Hogan, who ordered the arrest of the two phone company workers, also caused police to issue a 13-State alarm for Warren B. Shannon, 30, lessee of the fourth-floor apartment where police found the "wiretap factory" in operation but made no arrests at the time. Shannon is believed to be traveling with his wife, Kathleen, 20, in a 1950 Mercury, license 808503.

BUSY LITTLE BEES.

In Felony Court, Asst. Dist. Atty. Melia charged the two telephone employees had made "35 interceptions" and this caused Magistrate Masterson to remark:

"They were certainly busy little bees."

The complaint before the Magistrate said the phone workers, working out of the N. Telephone Co. office at 228 E. 56th st., "did wilfully displace, remove, injure and destroy

RAID APARTMENT.

"The party raided the apartment. Instead of finding me, they found two telephone company employees. I'm not sure what went on inside the apartment, but the Anti-Crime Committee has established that one of the policemen came downstairs to where two detectives were waiting and told them:

"Forget about the raid. It will be all taken care of."

(Editor's Note — This may explain why the E. 51st st. police station was not notified of the raid and why Dist. Atty. Hagan was kept in the dark until Friday. Police Comm. Adams said the failure of the raiders to make any arrests was due to the fact they had no search warrant.)

William J. Keating anti-crime committee counsel, first revealed the raid in a report to the Legislature last Thursday. He declared the raid also disclosed the existence of "a slush fund" by which certain policemen were "taken care of" for co-

operating" with telephone experts.

The Anti-Crime Committee counsel said that, contrary to earlier reports, the raiding party had not confiscated any of the \$10,000 worth of listening devices found in the apartment, although much of it is highly classified by government agencies.

Both Spindel and Keating said the Feb. 11 raid was "a terrible mistake" by police and that is the reason why the news was suppressed for more than a week.

Spindel said he discovered that his own phone in his West Side apartment, to which he had recently moved, was about to be tapped only last week. He declared he encountered a telephone company employee in the basement of the apartment house and that the employee admitted he was trying to learn if Spindel was intercepting any conversations over his own phone.

Accepted

No Continuation

R.D.



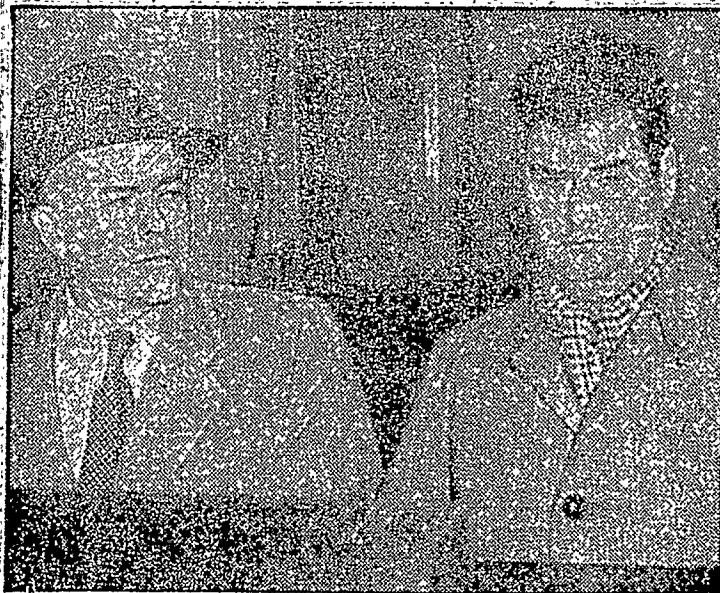
BOOKED on wiretap charges at the Elizabeth st. station are Walter Asman (left) and Carl Ruh (right) with Det. John McNichol in charge.

2 Seized, 3d Gives Up On Wiretap Charges

By JEROME EDELBERG and ERWIN SAVELSON

While police in 13 states sought him, Warren B. Shannon, in whose 55th St. apartment police uncovered a huge wiretapping center, surrendered to the District Attorney Saturday and was promptly arrested on charges of illegal telephone eavesdropping.

Shannon's arrest came after two phone company employees were earlier taken into custody on charges of cutting in on at least 35 lines since last June and crime probes dis-



In custody of Det. Frank Hilda (left), Warren Shannon, suspended Telephone Co. employe, is booked at Elizabeth St. Station.
(Other Photo on Page 1)

(Mirror Photo)

Final
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N.Y. MIRROR
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FORWARDED BY N. Y. DIVISION

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closed that five of the taps carried out at the center at 360 E. 55th St. were on phones of executives of the E. R. Squibb and Sons chemical firm.

NEWS OF SHANNON'S surrender was kept secret for several hours by the District Attorney, who announced that the 30-year-old man came to his office with his attorney. Shannon, regarded as a key figure in the mysterious wiretapping operation, gave his business address as 320 E. 49th St. He was charged with violating Section 1423 of the Penal Code.

His surrender ended a search along the Eastern seaboard, started when the District Attorney ordered his apprehension. The prosecutor said Shannon listed two businesses—Shannon Rentals and Shannon Enterprises, but no further information was forthcoming concerning his link with the wiretapping operations.

Conventional wiretap equipment valued at about \$2,500 was found in Shannon's apartment when police raided it Feb. 11. Shannon, who gave his occupation as a film electrician, was not in the apartment Saturday when it was searched again by three inves-

tigators from the District Attorney's office.

Booked at the Elizabeth St. station, Shannon was freed in \$1,000 bail when arraigned in Night Court. He will receive a hearing Sunday in Weekend Court.

Announcement that the phones of the Squibb company executives were being tapped came from the N. Y. City Anti-Crime Committee. The disclosure by John M. O'Mara and William J. Keating, the committee's executive director and counsel, answered in part one of the principal questions of the wiretapping mystery: Just whose lines were being tapped?

Meanwhile, Magistrate Masterson in Weekend Court held the two suspended phone company workers, Carl R. Ruh, 30, of 3336 Decatur Ave., Bronx, and Walter Asmann, 29, of 145-31 175th St., S. Jamaica, Queens, in \$1,000 bail each for hearing next Thursday on charges of malicious mischief, a felony.

During their brief court hearing

Continued on Page 34

2 Seized, 3d Gives Up On Wiretapping Charge

Continued from Page 2

Saturday the District Attorney disclosed that the actual taps or cutting into the phone lines were made at the phone company office at 228 E. 56th St., one block from Shannon's apartment. The eavesdropping and recordings were carried on in the apartment itself, Assistant District Attorney Mella declared.

Ruh, a phone tester, and Asmann, a frame-man—who makes connections in exchanges with subscribers' phones—were taken into custody at their homes Friday night and questioned all night. Earlier, they had been suspended by their company for improper use of phone facilities.

The DA ordered them arrested early Saturday, adding that enough progress had been made to present the entire case to the grand jury Monday. The prosecutor also said that only the Plaza exchange was involved in the wiretapping operations and an aide said:

"Over a period of five months, interceptions were made on about 15 phone numbers, six at a time."

HOWEVER, WHEN the case went before Magistrate Masterson, Mella said the two phone workers had "made 35 interceptions" and that the center started operating last June.

"My, they certainly were busy little bees," remarked Masterson.

Both were charged in a short affidavit signed by Detective John McNichol of the DA's squad with violating Section 1423, Subdivision 6, of the Penal Law.

The affidavit said the two men "did wilfully displace, remove, injure and destroy a line of phone

cable material" and "did cut, break and tap" such a line, making connections with wires or cables located at 360 E. 55th St.

Asmann's father and Ruh's relatives were in court and told newsmen neither had ever been in trouble before. Both are married and have been phone company workers for about seven years. The elder Asmann said he had been a phone company employee for 40 years.

A representative of the N. Y. City Anti-Crime Committee said one wall of Shannon's 55th St. apartment was "set up like a switchboard." This spokesman also claimed that the wiretappers made at least 100 recordings in the flat, but added he did not know whether authorities or Shannon have these records.

In Washington, Sen. McClellan, (D.) Ark., chairman of the Senate Permanent Investigating Subcommittee, said an investigation has been launched to determine whether any official phones in Washington have been tapped.

NEITHER THE District Attorney nor Police Commissioner Adams have given any details as to what the wire tapping center's exact purpose may have been.

The DA insisted the investigation thus far shows it was only a "local" setup and relatively unimportant.

But the Anti-Crime Committee expressed belief the center was used for business purposes, enabling rivals to eavesdrop on each other.

The FBI's chief interest was to determine if there were violations of Federal laws and if the operation involved any breaches of security.

3 Held in Wire Taps; Squibb Officials Were Among Ring's Victims

2 Phone Men And 3 in Plot Under Arrest

By Robert A. Potete

Warren B. Shannon, occupant of the apartment at 360 E. 55th St., which is said to have been the headquarters of an East Side telephone-tapping ring, surrendered last night. During the day two telephone company employees who had been suspended because of the accusations against them, were arrested.

The New York City Anti-Crime Committee, which gave out the first news about the alleged ring on Thursday, disclosed that there had been five wire-taps on telephones of officials of the E. R. Squibb and Sons chemical firm, 745 Fifth Ave.

Phone Men Seized

The New York Telephone Co. employees who were arrested are Carl R. Ruh, thirty, of 33-36 Decatur Ave., the Bronx, and Walter Asmann, twenty-nine, of 145-81 175th St., Jamaica, Queens. Asmann was employed as a "frame man," connecting subscribers' telephones to exchanges. Ruh is a telephone tester.

Shannon, a film electrician for whom the police had broadcast a thirteen-state alarm, went to the District Attorney's office with his attorney. District Attorney Frank S. Hogan ordered his arrest on a charge of wiretapping, a felony under the malicious mischief section of the penal code.

Late City
CLIPPING FROM THE
N.Y. HERALD TRIBUNE

AT 11
ORWARD FEB 20 1955
BY N. Y. DIVISION

Wire Tap

(Continued from page one)

when three representatives of the District Attorney went to the place with a search warrant.

Ruh and Asmann were arraigned in Felony Court on a complaint which quoted liberally from Section 1420 of the Penal Law, which deals with illegal wiretapping as an offense punishable with two years' imprisonment. The complaint did not, however, specify which of the section's many provisions, such as "displace, remove, injure or destroy a line . . ." the two men had violated.

A representative of the District Attorney's office interpreted the charge as specifying that the two men tapped wires at a telephone exchange at 228 E. 56th St., and fed tap wires into 360 E. 55th St. to intercept telephone talk.

Assistant District Attorney Aloysius Melia, at the arraignment, asked Magistrate John F. X. Masterson to set bail at \$1,000 each for Ruh and Asmann. To back up his request for the bail, Mr. Melia told the magistrate the two had made thirty-five wire taps. He did not clarify this.

"They were certainly busy little bees, weren't they?" commented Magistrate Masterson. He set the bail at \$1,000 each, and scheduled a hearing for Thursday.

Bail was posted for Ruh and Asmann at 1:30 p.m., and they were released. Ruh told a reporter that he had "told everything to the D. A." but declined to answer other questions.

can't say nothing," he said. Asmann also declined to talk.

Asmann's father came to the arraignment. He said his son was a veteran of World War II, married, father of two children, and had worked for the telephone company for seven years.

The elder Mr. Asmann, who has worked for the telephone company forty years, said his son had "never been in trouble before . . . I don't know anything about this . . . it must have been a weak moment."

The subject of the police alarm, which went out to thirteen Eastern Seaboard states, was Warren B. Shannon, thirty, whose arrest was requested by the District Attorney's office. His address was given as 360 E. 55th St., and the alarm stated only that he was wanted for violation of Section 1420.

Shannon is believed to be one of the "couple" found in the wiretap apartment by the raiders. He was described as 5 feet 6 inches tall, weighing 180 pounds, with brown hair and brown eyes. He was last seen driving with his wife, Kathleen, twenty—described as 5 feet tall, weighing 110 pounds—in a 1950 Mercury with license number 8C-85-03.

Yesterday's disclosure about the Squibb Co. executives' tel-

phones was made jointly by William B. Keating, counsel for the Anti-Crime Committee, and John M. O'Mara, executive director of the committee.

Mr. Keating did not name the Squibb executives. He said he did not know the purpose of the wire taps. On Thursday, Mr. Keating noted that illegal wire taps have been used to obtain information for divorce cases and for business purposes.

The Squibb company's central telephone number at the 745 Fifth Ave. address is PLaza 3-2900, which is one of the exchanges listed by the committee in the area covered by the ring. Others listed were PLaza 1 and 5, MURray Hill 8, ELdorado 5 and TEMpleton 8.

Mr. Keating said he would go to Albany today with other committee members to confer with legislative leaders who have been urged to undertake an investigation of wire tapping.

Ruh and Asmann are believed to be the telephone company employees whom detective found with two or more persons in the apartment at 360 E. 55th St. when they raided it Feb. 11 with two special agents of the New York Telephone Co. The raiders found \$10,000 worth of wiretapping equipment and a closetful of recorded telephone conversations.

Called Listening Post

The E. 55th St. apartment, according to the District Attorney's office, was the listening post, the wiretapping having been done in an office of the telephone company. The \$10,000 worth of wiretapping equipment said to have been in the apartment when the raid was made was not found yesterday.

(Continued on page 30, column 2)

2 Arrested / In DA Quiz On Wiretap

Dist. Atty. Hogan today placed under arrest two suspended telephone company workers in an outgrowth of the "hush-hush" police raid Feb. 11 which uncovered a huge wiretapping center at 360 E. 55th st.

Hogan also authorized a 13-State alarm for Warren B. Shannon, 30, lessee of the fourth floor apartment where police found the "wiretap factory" in operation but made no arrests at the time.

Shannon is believed to hold the key to the real operators of "Wiretap, Inc." headquarters, which was capable of eavesdropping over a large section of Manhattan's swank East Side residential and business areas, as well as the United Nations district.

Shannon, who specialized in renting lighting equipment, is sought for violation of Section 1420 of the Penal Law, which deals with illegal wiretapping. The alarm said Shannon probably was driving his 1950 Mercury, license 8C3503, and traveling with his wife, Kathleen, 20, described as 5 feet tall and weighing 110 pounds.

Shannon is 5 feet 6, weighting 180 and with brown hair and eyes.

A 'QUIET MAN'

Neighbors said Shannon, whom they described as a "quiet man whom we thought was in show business," returned to the

Continued on Page 3, Column 5.

CLIPPING FROM THE

N. Y. *NY* JOURNAL AMERICAN

DATED FEB 19 1955

FORWARDED BY N. Y. DIVISION

Continued from First Page

three-room apartment as recently as Thursday to pick up his mail.

The alarm was issued for Shannon several hours after the arrest of the two suspended telephone company employees.

The two men were ordered booked at the Elizabeth st. station at 5 a.m. on charges of wiretapping after Hogan and his staff had questioned more than 10 persons all night. The prisoners had been suspended by the telephone company yesterday "pending discharge for improper use of telephone facilities."

SEIZED AT HOMES.

The telephone men, picked up at their homes, are:

Carl R. Ruh, 30, married, a fester, of 3336 Decatur ave., Bronx. He was the ringleader, police said.

Walter Asmann, 29, married, of 145-81 175th st., South Jamaica, Queens, a frame man. "We think we will make enough progress over the weekend to begin presentation of all facts to the grand jury on Monday," Hogan said.

Ruh and Asmann were picked up by Dets. Jack McNichol and Frank Hnida of the District Attorney's Squad.

It was explained that a "frame man" makes connections in a telephone exchange to subscribers' phones.

According to the District Attorney's office, Ruh charged \$350 a week to tap a telephone line from which tape recordings were made of conversations.

Ruh, it is alleged, paid Asmann \$35 a week.

Both men appeared haggard and needing shaves when they were booked.

Ruh wore a checked topcoat. Asmann was wearing a soiled green jacket.

Earlier today Hogan issued a statement saying:

"Thus far we have questioned a number of people. It

looks as if we would question more during the remainder of the night.

"We have ascertained, contrary to public reports, that the operation was local in nature. Our information is that only one telephone exchange is involved; the Plaza exchange; and that over a period of five months interceptions were made on about 15 telephone numbers, six at a time."

Hogan's statement was at variance with one made by Police Commissioner Adams, who said six telephone exchanges with an estimated 60,000 subscribers were involved.

UNCOVERED IN RAID.

The New York Anti-Crime Committee, a private organization, said telephones could be tapped in the area bounded by 36th and 96th sts., and 5th ave. and the East River.

The wiretap setup was discovered in a raid made by two detectives and two special agents of the New York Telephone Co.

Neighbors said Shannon had lived in the three-room, air-conditioned apartment about 11 months and that he operated Shannon Research & Promotion Service as well as Shannon Rentals, specializing in lighting equipment.

FBI SPEEDS PROBE.

The FBI was conducting its own probe into the mystery wiretapping center.

"We are conducting an investigation to determine whether there is a violation of Federal law," said James J. Kelly, special agent in charge of the New York office.

The New York Telephone Co. today issued the following statement:

"We don't like wiretapping.

"We are cooperating fully with the law enforcement agencies to make sure that everything is done that can be done to safeguard the privacy of communications. No one has a greater stake in this than the telephone company."

Hogan said the wiretapping method used in the East Side apartment was the most difficult to operate used by illegal wiretappers. The system is known as "backstrapping."

In this method a tap is placed on the main frame of the telephone company and fed to a convenient location. Such taps are impossible without cooperation of telephone company employees.

Adams named the telephone exchanges involved in the taps as PLaza 1, 3 and 5, MURray Hill 8, ELdorado 5 and TEHpleton 8.

Arrest 2 Phone Men In
Wire-Tap Probe

Night Extra
CLIPPING FROM THE

N. Y. POST

DATE FEB 19 1955

By CHARLES GRUENBERG
and JOSEPH COTTER

District Attorney Hogan ordered the arrest of two New York Telephone Co. employees Saturday on charges of illegal wiretapping. The move grew out of the hushed-up raid on an East Side apartment more than a week ago.

The employees, suspended by the company "pending discharge for improper use of telephone facilities," are Carl R. Ruh, 30, of 3336 Decatur Av., The Bronx, and Walter Asmann, 29, of 145-81 175th St., South Jamaica, Queens.

Ruh and Asmann were picked up by detectives attached to Hogan's office at 9 p.m. Friday and were questioned through the night. Their arrest was ordered at 4:30 a.m. Hogan remained in his office until nearly dawn.

There were these other developments:

¶ The FBI announced it planned to investigate the wire-tapping setup uncovered in New York to determine if federal law had been violated.

¶ State officials said they would introduce a resolution calling for a legislative investigation of wiretapping.

¶ Federal officials, alarmed over the possibility that calls between government officials had been tapped, were considering a broadening of the investigation to include the wire-tapping case here.

It was reported that the local investigation may lead to an inquiry into the practices of licensed private detectives, some of whom have turned to illegal wiretaps in order to get divorce as well as general evidence.

The eavesdropping operation, police indicated, afforded opportunities for blackmail, security leaks and cut-throat practices by competing business firms.

Grand Jury to Get Facts

Hogan, in announcing the arrests of the phone company men, said:

"We think we will make enough progress over the weekend to begin presentation of all facts to the Grand Jury on Monday.

"The Grand Jury will ascertain whether there was any violation of the law."

Eight other persons, in addition to Ruh and Asmann, were questioned in the all-night session. They were not identified.

Hogan said that although the wire-tapping equipment found in the Feb. 11 raid at 360 E. 55th St. was capable of eavesdropping on any phone in any of six East Side exchanges, only one—PLaza 3, was actually tapped.

"Over a period of five months, interceptions were made on 15 telephone numbers, six at a time," he explained.

The Post learned that one of the taps had been on the wires of a large pharmaceutical firm, and that the tap was in effect the day the raid took place.

It was also learned that a similar tap had been placed on the company's wires previously on orders of a private detective.

It was not known whether the taps had been put on by a com-

Continued on Page 10

Arrest 2 Phone Men In Wire-Tap Probe

Continued from Page 3

petitor or if the company itself had ordered them.

The Feb. 11 raid was made by two cops and two phone company agents acting on information supplied by the phone company. Ruh and Asmann were found in the place along with \$10,000 worth of tapping and recording equipment.

The fourth floor apartment is leased by Walter B. Shannon, a research and promotion man. He operates the Shannon Research & Promotion Service and Shannon Rentals, a firm specializing in theatrical lighting equipment.

In addition to the phone men, two other persons were in the apartment. They have not been identified.

The DA's office explained that no arrest had been made at the time because the raiders had no warrants and because possession of wiretap equipment is not in itself a crime.

The raid was hushed up. The news came out nearly a week later, only after the City Anti-Crime Committee submitted a memorandum mentioning it to the Legislature in hopes of tightening up the law on wiretaps.

Ruh and Asmann were suspended from their jobs shortly afterwards and then taken in for questioning.

Although the equipment found in the apartment was of an electronic type that does not have to be clipped physically to the telephone lines, the taps in use, it was said, were connected to the main frame of a phone exchange and fed to 360 E. 55th St.

Asmann, a DA's spokesman said, was employed as a "frame man," one who makes connections in the exchanges to subscribers' phones. Ruh is a tester.

It was learned that such hook-ups to phones can be made without arousing suspicion at the exchange because subscribers, when moving, often request that a temporary "bridge" be placed from their old phone to a new one in order to maintain uninter-

rupted connection with their customers.

Ruh and Asmann were booked at the Elizabeth St. station on a section of the malicious mischief law making it a felony to "unlawfully or willfully cut, break, tap or make connection with any telegraph or telephone line..."

They were held for arraignment later in the day in Week-end Court.

Announcement of FBI interest in the case came from James J. Kelly, agent in charge of the New York office. He said the investigation would aim at finding out if any federal law was violated, possibly as a result of taps on interstate conversations.

The state's interest in the case was voiced by State Senate Majority Leader Mahoney (Buffalo), who said:

"We are studying the wiretap situation. Undoubtedly a resolution investigating the subject will be introduced. I am studying the matter very carefully..."

In Washington where the Senate Investigations subcommittee has already begun digging into reports that phones of government officials had been tapped, Sen. McClellan (D-Ark.) said the inquiry might be broadened to take in the New York tapping operations.

The area which the East Side tapping operation could cover includes the United Nations and many U. S. government and foreign nations' offices.

However, a DA's spokesman said that as far as is known now, no UN or U. S. phones were tapped.

In announcing the suspension of Ruh and Asmann, the phone company said:

"We don't like wiretapping."

"We regard privacy of communication as the fundamental right of every telephone user. It is a foundation stone of the telephone industry."

"In the current case, information came to our attention which led us to believe there were irregularities on the part of two of our people. After investigation, we immediately suspended these men, pending discharge for improper use of telephone facilities."

"We are cooperating fully with the law enforcement agencies to make sure that everything is done that can be done to safeguard the privacy of communications. No one has a greater stake in this than the telephone company."

Phone Firm Aide Called Ringleader

Two suspended telephone company employees were arrested at 5 a.m. today in the investigation of the gigantic wiretap center uncovered in a raid Feb. 11.

Ordered booked at the Elizabeth st. station were:

Carl R. Ruh, 30, married, a tester, of 3336 Decatur ave., Bronx. He was the ringleader, police said.

Walter Asmann, 29, married, of 145-81 175th st., South Jamaica, Queens, a frame man.

Dist. Atty. Hogan ordered the pair placed under arrest after questioning them from 9 o'clock last night.

The order came after all-night grilling of more than 10 persons at the District Attorney's office.

Ruh and Asmann were picked up by Dets. Jack McNichol and Frank Hnida of the District Attorney's Squad.

It was explained that a "frame man" makes connections in a telephone exchange to subscribers' phones.

Ruh and Asmann were charged.

Continued on Page 4, Column 1.

CLIPPING FROM THE
N.Y. JOURNAL AMERICAN

N. Y. FEB 19 1955

DATED
FORWARDED BY N. Y. DIVISION

Continued from First Page

with violating Sec. 1423, of Sub. Div. 6 of the Penal Law. This covers malicious mischief, but also includes wiretapping a felony.

According to the District Attorney's office, Ruh charged \$350 a week to tap a telephone line from which tape recordings were made of conversations.

Ruh, it is alleged, paid Asmann \$35 a week.

Both men appeared haggard and needing shaves when they were booked.

Ruh wore a checked topcoat. Asmann was wearing a soiled green jacket.

Both men were to be arraigned later today in Felony Court.

ONLY 1 EXCHANGE TAPPED.

Earlier today Hogan issued a statement saying:

"Thus far we have questioned a number of people. It looks as if we would question more during the remainder of the night.

"We have ascertained, contrary to public reports, that the operation was local in nature. Our information is that only one telephone exchange is involved; the Plaza exchange, and that over a period of five months interceptions were made on about 15 telephone numbers, six at a time.

Hogan's statement was at variance with one made by Police Commissioner Adams, who said six telephone exchanges, with an estimated 60,000 subscribers were involved.

UNCOVERED IN RAID.

The New York Anti-Crime Committee, a private organization, said telephones could be tapped in the area bounded by 36th and 96th sts., and 5th ave. and the East River.

The wiretap setup was discovered in a raid made by two detectives and two special agents of the New York Telephone Co. in the fourth floor apartment said to be rented by Warren B. Shannon, at 360 E. 55th st.

It is said four persons were present. Two of them were men employed by the telephone company.

No arrests were made at the time, although equipment found was reported to be worth \$10,000.

Neighbors said Shannon had lived in the three-room, air-conditioned apartment about 18 months and that he operated Shannon Research & Promotion Service, as well as Shannon Rentals, specializing in lighting equipment.

FBI SPEEDS PROBE.

The FBI was conducting its own probe into the mystery wiretapping center.

"We are conducting an investigation to determine whether there is a violation of Federal law," said James J. Kelly, special agent in charge of the New York office.

The New York Telephone Co. today issued the following statement:

"We don't like wiretapping.

"We regard privacy of communication as the fundamental right of every telephone user. It is a foundation stone of the telephone industry. We train and admonish our people to protect the customers' right of privacy.

"Every employee who comes to work for the telephone company is required to read the section of the Federal and State statutes on the secrecy

of communications and to sign a pledge to obey them.

In the current case, information came to our attention which led us to believe there were irregularities on the part of two of our people. After investigation, we immediately suspended these men, pending discharge for improper use of telephone facilities.

"We are cooperating fully with the law enforcement agencies to make sure that everything is done that can be done to safeguard the privacy of communications. No one has a greater stake in this than the telephone company."

Hogan said the wiretapping method used in the East Side apartment was the most difficult to operate used by illegal wiretappers. The system is known as "backstrapping."

In this method a tap is placed on the main frame of the telephone company and fed to a convenient location. Such taps are impossible without cooperation of telephone company employees.

POLICE PHONES TESTED.

Hogan denied that any electronics equipment was found in the apartment.

Adams named the telephone exchanges involved in the taps as Plaza 1, 3 and 5, Murray Hill 8, Eldorado 5 and Templeton 8.

He also revealed his own telephones at home and Police Headquarters are tested twice a day to see if they are being tapped.

The area Adams said was involved contains the United Nations headquarters as well as most of the foreign consulates.

He denied reports the wiretap investigation was linked to the Jan. 27 slaying of multimillionaire Serge Rubinstein.

Rubinstein reportedly made extensive use of wiretaps, not only for business purposes but to eavesdrop on cafe society beauties he squired around town.

Wiretap Evil

THE DISCLOSURE that a huge illicit wiretap center has been operating in a middle East Side apartment, with taps on cables of six telephone exchanges, is full of ugly and sinister implications.

It is, first, an insufferable violation of the privacy of homes and businesses. Second, it raises the alarming supposition that the operation may have listened in on interstate communications, including security secrets. Third, it suggests not only laxity in the enforcement of wire-tap regulations but that the regulations themselves may need vigorous overhauling in view of modern electronic developments.

And, fourth, it leaves the question still not satisfactorily answered why the Police Department, which raided the center a week ago Friday, kept the lid on the news until it was revealed in Albany by the New York City Anti-Crime Committee.

Police Commissioner Adams said late yesterday the reason for the police silence was that the raid was part of "a continuing investigation." Not even District Attorney Hogan's office was notified. The answer to that is if news of the raid leaked to the Anti-Crime Committee, it is a legitimate assumption it leaked to other sources not as high minded. It would have been better if Mr. Adams had taken Mr. Hogan into his confidence immediately.

7 Sports
CLIPPING FROM THE

N.Y. JOURNAL-AMERICAN
FEB 19 1955
FORWARDED BY N. Y. DIVISION

The adequacy of present regulations becomes more than questionable when you read of electronic devices that can pick up conversations up to 300 yards without use of wires, plus the fact that highly secret equipment fixed on the U. S. Government's megacycle range has been bootlegged to private detective agencies.

There is also evidence of laxity in enforcement of the law itself, which requires court authorization for tap permits.

District Attorney Hogan has now ordered a full scale investigation and the shock of the disclosure has produced demands by legislators in Albany for a State inquiry and by Sen. Ives in Washington for Congressional action.

In a situation like this, which is both appalling and dangerous, the investigations should dig into all aspects of the evil, as deep as they exist and as wide as they extend.

Office Memorandum • UNITED STATES GOVERNMENT

TO : Mr. Rosen *for*

DATE: 2-21-55

FROM : Mr. Price *HP*

SUBJECT: JOHN G. BROADY, with aliases;
 CHARLES GRIS; CARL RUH;
 WALTER C. ASMANN; WARREN B. SHANNON
 UNAUTHORIZED PUBLICATION OR USE OF COMMUNICATIONS

Tolson ☒
 Boardman ☒
 Nichols ☒
 Belmont ☒
 Harbo ☒
 Mohr ☒
 Parsons ☒
 Rosen ☒
 Tamm ☒
 Sizoo ☒
 Winterrowd ☒
 Tele. Room ☒
 Holloman ☒
 Gandy ☒

This afternoon the facts as now known by the Bureau concerning the wire tap situation uncovered in New York City were discussed with Alan Lindsay, Criminal Division of the Department, by myself and SA Harry Morgan.

Mr. Lindsay was informed that the New York City Police Department and telephone company representatives conducted a raid on 2-11-55 which subsequently became public in newspaper stories appearing in the papers on 2-18-55. It was pointed out to Mr. Lindsay that following the report of this situation in the newspapers the New York Office of the FBI made inquiry of the New York City Police Department, the New York Telephone Company and New York County Attorney Frank Hogan in order to obtain the facts.

Mr. Lindsay was informed of the information which the Bureau has obtained and it was pointed out to him that District Attorney Hogan has obtained signed statements from 2 telephone company employees and has subsequently charged them with violation of state felony statutes as a result of their wire tapping activities. Mr. Lindsay was informed that Mr. Hogan has stated that it was impossible for him to furnish any information to the FBI at this time or [redacted] b7D

Inquiry was made of Mr. Lindsay as to what action should be taken by this Bureau in light of the foregoing developments. Mr. Lindsay stated that no additional inquiries or investigation should be conducted by the FBI. Lindsay stated that he would appreciate receiving from the Bureau the report reflecting the results of the preliminary investigation conducted b7D by the FBI. Mr. Lindsay said in his opinion since there was a showing that District Attorney Hogan has obtained statements from some of the subjects, has had some of the subjects arrested and [redacted] he does not feel that any further steps should be taken at this time by the FBI. Mr. Lindsay said he thought the situation was similar to one involving a civil rights matter where the Department takes the attitude that if there was a clear showing that the local authorities are proceeding with prosecutions the Department does not feel that additional investigation should be made by the FBI.

A separate memorandum is being forwarded immediately to Mr. Olney confirming Mr. Lindsay's instructions.

cc: Mr. Nichols cc: Mr. Mohr (given to C. L. Rogers)
 FLP:ars (8) *ELW R* EX-125

RECORDED - 90

Office Memorandum • UNITED STATES GOVERNMENT

TO : Mr. Rosen *RW*

DATE: 2/25/55

FROM : Mr. Price *JRP*SUBJECT: ^①JOHN G. BROADY, with alias, ET AL.
UNAUTHORIZED PUBLICATION
OR USE OF COMMUNICATIONS

Tolson	_____
Boardman	_____
Nichols	_____
Belmont	_____
Harbo	_____
Mohr	_____
Parsons	_____
Rosen	_____
Tamm	_____
Sizoo	_____
Winterrowd	_____
Tele. Room	_____
Holloman	_____
Gandy	_____

Our New York Office has submitted its preliminary report concerning this case dated 2/21/55.

On page 21 of this report New York advised that Louis C. Hesse, Special Agent of the New York Telephone Company, was interviewed 2/19/55. During this interview he stated that one of the telephone company's testers by the name of Sullivan, who is employed at 104 Broad Street and lives in New Jersey, was visited at his home on 2/13/55 by a man and this man identified himself as Steve Broady, which is an alias for John G. Broady, subject of this case. Broady approached Sullivan requesting Sullivan to test some of Broady's telephone lines because Broady believed they were being tapped. Sullivan replied that he was not authorized to do this type work and that Broady should take this matter up with the telephone company or the FBI.

Broady said he would not take the matter up with the FBI because the FBI was full of Communists. Broady said that he would buy a present for Sullivan's daughter if Sullivan would assist him in this matter. Sullivan refused and Broady left.

In addition, New York's report of 2/21/55 shows the following discrepancies: On page 25 the word "feeder" is spelled "feder" on four occasions. Also on page 25 an interview is reflected as 2/29/55 when it is obvious that it should have been 2/19/55. On page 30 the New York report reflects the subject's name as John E. Broady whereas it should be John G. Broady.

RECOMMENDATIONS:

(1) In view of the remark made by Steve Broady that the FBI is full of Communists, it is recommended that New York promptly identify this man and thoroughly interview him concerning his remark. If approved, the attached airtel will be forwarded to our New York Division instructing it to interview Steve Broady. New York will also be instructed to make certain that it does not leave the impression that it is investigating the wire tapping case in New York since the Department has stated that we should conduct no further inquiries and inasmuch as District Attorney Hogan of New York County is prosecuting this case on a state felony charge.

Attachment *sent* 2-28-55
cc: Mr. Nichols

Mr. Mohr

HJM:mrs/amh

(8) 60 MAR - EX-112

RECORDED-11

21 MAR 3 1955

6-

Memorandum for Mr. Rosen

We are also advising the Department by memorandum, attaching to it a report from the New York Division concerning the preliminary inquiry into this case, that we are having Steve Broady interviewed concerning his remark that the FBI is full of Communists.

Memorandum 2/23/55
(2) By memorandum dated 2/23/55, we advised the Department that we would promptly furnish it a copy of the report from our New York Division reflecting the results of a preliminary investigation concerning this case. The report has been received from the New York Division containing the errors mentioned hereinabove. We are correcting the report in ink and forwarding a copy of it to the Department. New York is being instructed in the attached airtel to submit appropriate explanations for the discrepancies appearing in its report and appropriate recommendations will be made when the explanations are received.

Assistant Attorney General
Warren Olney III

February 28, 1955

Director, FBI

RECORDED - 88/3 9-149-16

JOHN G. BROADY, with alias
John Steve Broady; CHARLES GRIS;
CARL RUH; WALTER C. ASMANN;
WARREN B. SHANNON;
UNAUTHORIZED PUBLICATION
OR USE OF COMMUNICATIONS

Reference is made to our memorandum dated
February 23, 1955, concerning captioned matter.

Attached is a copy of the report of Special Agent
John J. Danahy made at New York, New York, dated February 21,
1955, concerning captioned matter.

Your attention is directed to page 21 of the
attached report. It is reported on page 21 that Mr. Louis C.
Hesse, Special Agent of the New York Telephone Company,
advised that a telephone company tester named Sullivan,
employed at 104 Broad Street and living in New Jersey, while
at his home on February 13, 1955, was visited by a man who
identified himself as Steve Broady. Broady asked Sullivan
if Sullivan would test Broady's telephone lines about once
a month because he believed they were being tapped. Sullivan
replied that he was unauthorized to do that and that Broady
should take this matter up with the telephone company or the
FBI. Broady said he would not take the matter up with the
FBI because the FBI was full of Communists.

We have instructed our New York Division to identify
Steve Broady and thoroughly interview him concerning the remark
attributed to him by Sullivan.

With regard to the attached report from our New
York Division, you are requested to advise this Bureau whether
you desire any further investigation concerning this case.

Tolson _____
Boardman _____
Nichols _____
Belmont _____
Harbo _____
Mohr _____
Parsons _____
Rosen _____
Tamm _____
 Sizoo _____
Winterrowd _____
Tele. Room _____
Holloman _____
Gandy _____

HJM:mrs

(4)

COMM - FBI

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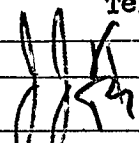
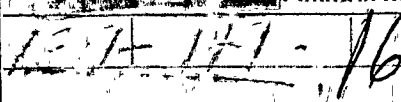
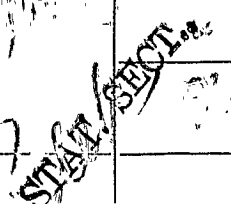

58 MAR 10 1955

FEDERAL BUREAU OF INVESTIGATION

Form No. 1

THIS CASE ORIGINATED AT **NEW YORK**

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REPORT MADE AT <p style="text-align: center;">NEW YORK</p>	DATE WHEN MADE <p style="text-align: center;">2/21/55</p>	PERIOD FOR WHICH MADE <p style="text-align: center;">2/18, 19, & 21/55</p>	REPORT MADE BY <p style="text-align: center;">JOHN J. DANAHY</p>
TITLE <p>JOHN G. BROADY, Wa: John Steve Broady; CHARLES GRIS, CARL RUH, WALTER C. ASMANN, WARREN B. SHANNON</p>			CHARACTER OF CASE <p style="text-align: center;">UNAUTHORIZED PUBLICATION OR USE OF COMMUNICATIONS</p>
<p>SYNOPSIS OF FACTS: On 2/18/55, Ralph W. Brown and Eric B. Nelson, NY Telephone Company attorneys, advised that the telephone company had initiated an investigation to determine if certain company employees had been "tracing lines, running wires and making jumpers and bridges at a central exchange." This investigation reflected that CARL RUH and WALTER C. ASMANN, telephone company employees, had admitted guilt in interfering with subscribers' telephone lines; further, that RUH and ASMANN executed signed statements admitting such guilt and that these statements had been subpoenaed and were in the hands of the NY County District Attorney's Office. Chief of Detectives Thomas Nielsen, Deputy Chief Inspector Edward Feeley and Detectives James Coen and John Norris interviewed. Detectives Coen and Norris advised that on 2/11/55 they cooperated with two Special Agents of the TelCo and that on that day entered the apartment of WARREN B. SHANNON at 360 East 55th Street, NY. They found SHANNON and his wife in the apartment. In a 4x8 foot closet in the apartment they found technical equipment which they indicated could have been used for recording wire or tape recordings. They also observed in this closet a box with a slip attached containing nine Manhattan telephone numbers. Thereafter the detectives inquired of the TelCo SAs as to the desirability of the latter filing a complaint. When the TelCo SAs declined they left premises, reported incident to Chief Feeley and conducted no further investigation. Louis G. Hesse, TelCo SA, stated that he received a complaint on 2/4/55 that a TelCo employee was making unauthorized connections and assisting private detective agencies. Investigation by TelCo identified CARL RUH and WALTER C. ASMANN, Telco</p>			
APPROVED AND FORWARDED: <div style="text-align: center; font-size: 2em; margin-top: 10px;">  </div>	SPECIAL AGENT IN CHARGE	DO NOT WRITE IN THESE SPACES <div style="text-align: center; font-size: 1.5em; margin-top: 10px;">  </div> <div style="text-align: center; margin-top: 10px;"> 21 FEB 23 1955 </div> <div style="text-align: right; margin-top: 10px;">  </div>	
COPIES OF THIS REPORT <p>(3) Bureau 4 New York (139-10)</p>		<div style="text-align: right; font-size: 0.8em; margin-top: 10px;">  </div>	

Synopsis (Con't.)

employees and WARREN B. SHANNON as subjects. Hesse stated that five unauthorized connections leading to SHANNON'S apartment were discovered and that RUH and ASMANN furnished written statements admitting activities but did not implicate anyone other than themselves and SHANNON. Richard Blue, General Plant Manager for Manhattan Island Division, NY Telephone Company, interviewed. He advised he first learned that several employees of TelCo were under investigation by TelCo sometime in third week in January 1955. Blue explained his primary interest in investigation was to determine if any Telco employees were engaged in activities detrimental to Telco and to develop sufficient evidence to effect their dismissal if such were the case. Blue read signed statements secured from RUH and ASMANN and concluded that employees should be discharged. Blue did not actively participate in TelCo investigation and stated that the only information he had was of a hearsay nature. C. J. Gotsch, Telco SA, advised that on 2/11/55, on entering the apartment of WARREN B. SHANNON he observed in a closet a box containing 16 pairs and by use of test set ascertained from TelCo operator identity of the subscribers corresponding to the telephone information appearing on the door of this house box. Gotsch observed recording equipment in this closet but stated this equipment was not connected to any telephone lines during the time he was in apartment. Gotsch then disconnected all illegal taps but did not interfere with the two authorized telephone connections going into the SHANNON apartment. Joseph Gilbert, TelCo SA, stated he checked irregularities in regard to several telephone lines to Apt. 4-M at 360 East 55th Street on 2/10/55 and that on 2/11/55 with TelCo SA Gotsch and two NYCPD detectives, was admitted to this apartment by WARREN SHANNON. SHANNON and an individual identified as SHANNON'S wife were in the apartment at the time but refused to answer any questions. Gilbert stated locked closet in living room contained 16 pairs telephone cable and set-up to tap 12 telephones. Although he noted that only eight home made turntables were in the closet only 4 to 6 lines marked with telephone numbers were actually being tapped. He also observed approximately 50 recording reels and other technical equipment in this closet. While he was there no equipment was in operation. No equipment was removed by Gilbert or the other three individuals with him as far as he knew.

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DETAILS: Instant investigation was initiated by a newspaper story which appeared in the "New York Daily News" on Friday, February 18, 1955, page 2, captioned "Raid Reveals Gangs' Taps on Six Exchanges". The article was written by JAMES DESMOND, staff correspondent of the "News", and was datelined February 17, 1955 at Albany, New York.

In summary, the article reflected that the New York City Anti-Crime Committee had reported to New York State Legislative leaders that a secret police raid on a Manhattan apartment turned up ten active wiretaps. According to the article, the raid was staged on Friday, February 11, 1955. The article indicated that the raiders found a "bridge" into a telephone cable that would permit the tapping of most telephones on the East side of Manhattan. The article indicated that the raid was inspired by disclosures that SERGE RUBENSTEIN made widespread use of wiretaps to get information for his financial manipulations. Further, that the raid was conducted on an apartment in the vicinity of East 54th Street and Third Avenue and that police had located therein \$10,000 worth of electronics equipment.

The article reflected that as a result of the raid in which two men and two women were found in the apartment, two men, both Telephone Company employees, had been suspended from their jobs. The article reported that WILLIAM J. KEATING, counsel to the Anti-Crime Committee, and JOHN M. O'MARA, Executive Director of the Committee, charged that the Telephone Company employee in charge of the elaborate setup was receiving \$35 per week for each wiretap and that a minimum of ten was operating at any time. According to KEATING and O'MARA, this Telephone Company employee paid off a second employee at a flat rate of \$35 a week.

The article reflected that KEATING and O'MARA have been advising Republican leaders of the New York State Legislature on a proposed investigation of wiretapping and illegal use of electronic devices to pick up private conversations.

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T-1 called attention to a newspaper article appearing in the "New York Daily News" on February 19, 1955, captioned "MAHONEY Promises Wiretap Study". The article was written by JAMES DESMOND, Staff Correspondent of the "News", and was dated February 18, 1955 at Albany, New York, and is set forth as follows:

"Sen. WALTER J. MAHONEY, Republican leader of the upper House, pledged today that the GOP will give 'careful consideration' to a legislative investigation of illegal wire-tapping as revealed in a raid on an East Side flat in New York.

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"The Senator's comment was made after it was disclosed that GEORGE H. SIBLEY, onetime campaign manager for WILLIAM DONOVAN in his bid for the U. S. Senate, was one of the victims in the illegal wiretapping on the East Side.

"SIBLEY expressed surprise that anyone would be interested in his phone calls, but said he would check the situation with JOHN G. BROADY, the lawyer involved in the attempt to tap the phones of ex-Mayor WILLIAM O'DWYER some six years ago.

"SIBLEY said he had used BROADY's legal services many times, but that he couldn't understand why anybody would want to hear what he said on the phone.

"SIBLEY, a former head of the Young Republicans, lives at 9 E. 81st St. where PAUL LOCKWOOD, now a public service commissioner and former confidential aid to ex-Gov. DEWEY, is also a resident.

"Earlier, Sen. MAHONEY took the lead in digging into the illegal wiretapping and electronics interception that was bared when New York police made their secret raid on a flat at 360 E. 55th St. last Friday.

"Undoubtedly a resolution investigating the subject will be introduced," MAHONEY said. "I'm studying the matter very carefully'."

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RALPH W. BROWN
General Counsel
New York Telephone Company

ERIC B. NELSON
General Attorney
New York Telephone Company

On February 18, 1955, Mr. RALPH W. BROWN, General Counsel, New York Telephone Company, and ERIC B. NELSON, General Attorney, New York Telephone Company, were interviewed by SAS EDWARD A. BRANDT and WILLIAM B. CONLEY at their offices, Room 2800, 140 West Street, New York, N.Y. Mr. BROWN did most of the talking during this interview and occasionally sought corroboration from Mr. NELSON.

Mr. BROWN stated that a little over a week ago, the New York Telephone Company received an anonymous tip that an employee named RUH was behaving suspiciously and living beyond his means. The Company commenced an investigation immediately which was directed by Mr. LOUIS C. HESSE, who is the head Special Agent for the New York Telephone Company. RUH was identified as CARL R. RUH, Test Desk Man, residing at 3341 Decatur Avenue, Bronx, New York. RUH'S activities were observed on and off his job.

It was observed that an employee named WALTER C. ASMANN, a Frame Man, residing at 145-81 175 Jamaica, Queens, New York, was RUH'S principal associate. Both of these individuals were assigned to the Central Office of the New York Telephone Company, 228 East 56th Street, New York, N.Y. Mr. BROWN stated that supervisory personnel of the Telephone Company actually observed one of these individuals making unauthorized connections at the Central Office.

Mr. BROWN said that Telephone Company officials questioned ASMANN and while at first he protested that he was innocent of any wrongdoing, after continued questioning he admitted his activities. RUH when questioned readily admitted his part in the matter. Both RUH and ASMANN furnished handwritten signed statements. RUH at first was unwilling to do so and asked if his statement would be furnished to the Police Department. He

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was told that it would not be and he then consented to furnish the statement. [REDACTED]

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Mr. BROWN said that RUH stated he was working for an individual using the name SHANNON who had an apartment located at First Avenue and East 55th Street. Neither RUH nor ASMANN implicated anyone else.

Mr. BROWN said that the Telephone Company immediately suspended RUH and ASMANN and for all practical purposes they are fired. He said that due to the fact that their dismissal of RUH and ASMANN was subject to review by the Employee's Union and their fear that the subjects of their investigation might have become aware that they are under suspicion and would remove any evidence in existence, the Company decided to advise the New York City Police Department of their findings. Therefore, Special Agents of the Telephone Company advised certain contacts of theirs on the New York City Police Department and a raid was made on SHANNON'S apartment at the same time RUH and ASMANN were being questioned.

Detectives of the New York City Police Department and two of Special Agent HESSE'S assistants employed by the New York Telephone Company, entered SHANNON'S apartment. Two men and two women were found in the apartment. None of them were Telephone Company employees. From 5 to 7 telephone lines were found leading into the apartment. There were recorders in the apartment but no other technical equipment. All of the equipment was found to be disconnected and not in operation. Mr. BROWN said that he believed that one of the telephone lines leading into SHANNON'S apartment was from the Squibb Company, but that he did not recall who the subscribers to the other lines were.

Mr. BROWN said that at the time of the raid, the New York City Police Department indicated they did not think they had enough evidence for a prosecution. No arrests or seizures were made at the time. He said that he does not know where the equipment is located which was found in the apartment. Mr. BROWN said that the raid referred to above took place on February 11, 1955 and any investigation conducted after that

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date was handled by the New York City Police Department and the District Attorney's Office. He said that he did not know the identity of anyone else involved in this matter other than SHANNON, except for the fact that he was aware that Telephone Company employees had been questioned by the District Attorney's Office subsequent to the raid of February 11, 1955. Mr. BROWN said that he did not know the results of the investigation being conducted by New York City authorities.

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NEW YORK CITY POLICE DEPARTMENT

THOMAS E. NIELSON, Chief of Detectives
EDWARD FEELEY, Deputy Chief Inspector, Manhattan East Detectives
Detective JAMES COEN
Detective JOHN NORRIS

The above officials of the New York City Police Department were interviewed by Supervisor THOMAS G. SPENCER and Special Agent JOHN J. DANAHY on the morning of February 19, 1955.

Chief Inspector FEELEY advised that at about 3:00 p.m. on February 11, 1955 he received a request for assistance from Chief Special Agent LOUIS C. HESSE, Telco. According to FEELEY, HESSE indicated generally that Special Agents under his command had developed information indicating that a wiretap plant was being maintained in an apartment at 360 East 55th Street, New York City.

Inspector FEELEY advised that as a result of Mr. HESSE's request, he assigned Detectives COEN and NORRIS to conduct an investigation at that address.

Detective COEN advised that accompanied by Detective JOHN NORRIS and Telco Special Agents J. M. GILBERT and C. J. GOTSCH, he proceeded to Apartment 4M at 360 East 55th Street. He stated that at the apartment one of the Telco Special Agents attempted to gain admission by requesting the occupants to permit him to inspect telephone equipment. He stated that the occupants, a man and woman, without opening the door, refused entry to the Telco Special Agents. Detective COEN stated he thereafter identified himself to the occupants and requested that they open the door, which they did.

He stated the occupants identified themselves as Mr. and Mrs. WARREN B. SHANNON and stated they were the lessees of the apartment. [REDACTED]

[REDACTED] Detective COEN stated that the SHANNONS were the only occupants of the apartment, as far as they could ascertain.

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He stated that he observed a locked door leading to a double closet and at his request Mr. SHANNON opened same. Detective COEN stated that he entered the closet and saw several machines which could have been wire or tape recorders. He stated he did not

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feel he was technically qualified to examine same and thereafter called upon the Telco Special Agents, who examined the contents of the closet and engaged in a technical conversation which was not understood by COEN.

Detective COEN stated that in addition to these machines, which may have contained wire or tape recorders, he observed numerous boxes similar to a type in which are contained tapes used for recording purposes. In addition, he stated that in one corner of the closet was a black telephone box with numerous telephone connecting screws located therein and a paper slip attached to the door of same.

Detective COEN stated that he copied these telephone numbers which were in partially illegible handwriting. The numbers furnished by Detective COEN, together with the subscribers as furnished by T-2, of known reliability, are as follows:

Eldorado 5-0732

Listed to [REDACTED]

[REDACTED] as of December 28, 1953

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Eldorado 5-3247

Listed to the St. Joseph Lead Company,
250 Park Avenue, since transferred to
Oxford 7-1700

Eldorado 5-4358

Listed to the subject, WARREN SHANNON

Murray Hill 4-4789

Listed to [REDACTED]

[REDACTED] as of

January 30, 1950

Murray Hill 8-8744

Listed to NORMAN C. SEIDENWURM, Apt. 16D,
400 East 49th Street, as of December 26, 1951

Plaza 5-8630

Listed to the Superintendent's Office, Sub-Basement, Squibb Building, 745 Fifth Avenue,
as of March 31, 1954

Plaza 8-7522

No such number listed

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Plaza 3-4166

No such number listed; however, Special Agent GOTSCH, Telco, advises he read this number as Plaza 3-1466, which was discontinued September 13, 1954 but was formerly listed to PSP, Inc., Publishers, 527 Lexington Avenue, Room 412, as of May 12, 1954.

Plaza 5-1725

Listed to WARREN SHANNON

Detective COEN advised that Telco Special Agent GOTSCH, after examination of the closet, advised him that it contained eight turntables, fifty reels, a stop watch, a test meter, switch relays, an automatic time clock, and a record album.

COEN stated he then asked Special Agent GOTSCH if the latter would press charges and GOTSCH stated he would not. COEN stated he requested GOTSCH to confer with his superiors concerning this and the latter made a telephone call and subsequently reaffirmed his previous statement that no charges would be pressed. COEN stated GOTSCH indicated that he did not desire to press charges because he desired to attempt to determine if Telephone Company employees were involved.

Detective COEN stated that at that point he called his superior, Deputy Chief Inspector FEELEY, and advised him of the aforementioned, and was instructed by Chief FEELEY to withdraw from the premises.

Detective COEN stated that although he is not technically qualified to state if wiretaps were in operation in the apartment, that upon leaving same he and Detective NORRIS accompanied Special Agents GOTSCH and GILBERT to the basement where Special Agent GOTSCH opened a telephone panel box and removed six lengths of wires.

Deputy Chief Inspector FEELEY and NORRIS stated that they had no information other than that furnished by Detective COEN.

Detective COEN stated that neither he nor Detective NORRIS, by prearrangement, questioned the occupants, namely,

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Mr. and Mrs. SHANNON, and that any conversation with the SHANNONS was limited to that outlined heretofore. He stated that it is possible that Special Agents GOTSCH or GILBERT questioned the SHANNONS, but that if they did so it was quite brief and was done out of his presence.

Chief of Detectives THOMAS NIELSON advised that he has heard reports, although he cannot verify same, that SHANNON was interviewed briefly by Special Agents GILBERT and GOTSCH in the apartment and named JOHN G. BROADY as his superior in this operation.

Chief NIELSON further advised that he has heard that a business card bearing the name of CHARLES GRIS was found on the person of CARL RUH when the latter was interrogated on the night of February 18, 1955 in the office of the New York County District Attorney.

Chief NIELSON stated that his information was only hearsay and that neither CARL RUH nor WALTER C. ASMANN had been interrogated by officials of the New York City Police Department under his command; that all interrogation of them was being conducted under the direction of District Attorney FRANK HOGAN. Chief NIELSON further advised that the investigation of any possible state offenses was then under the control of District Attorney HOGAN, who had ordered the arrest of RUH and ASMANN on the morning of February 19, 1955 on charges of violation Section 1423, Penal Law, New York State, Sub-Section 6, a felony charging malicious mischief in interference with communications equipment.

LOUIS C. HESSE

At 12:30 PM, 2/19/55, Mr. LOUIS C. HESSE, Special Agent, New York Telephone Company, was interviewed by Special Agents Edward A. Brandt and William P. Conley at Suite 2800, 140 West Street, New York City. General Counsel RALPH W. BROWN of the New York Telephone Company was present during this interview.

Mr. HESSE stated that on 2/4/55, he received a complaint that a telephone company employee was performing illegal operations and was working with private detective agencies. Mr. HESSE stated that as a matter of policy he preferred not to identify the complainant. He said that he commenced investigation immediately and that CARL R. RUH, "Test Desk Man" at the Central Office, 228 East 56th Street, New York City, was one of his prime suspects. He said that he suspected RUH because he knew that he was very intelligent and capable and in a position to perform such an operation. In addition, he knew that RUH maintained a high standard of living and continually bragged of his sexual promiscuity.

By 2/8/55, the Supervisory Staff at the Central Office had observed that WALTER C. ASMANN, "Frame Man," was closely associated with RUH. They observed that whenever RUH, sitting at his desk in the Central Office, needed a "Frame Man" he would call for ASMANN on the "horn" which is the loudspeaker system in the Central Office.

The Central Office Foreman, R. STEPHENS, commenced observing ASMANN'S operations closely. On 2/10/55, STEPHENS observed ASMANN matching two underground pairs, numbers 849 and 868.

HESSE said that investigation revealed that these were spare pairs not assigned to any subscribers. This investigation revealed that these unbridged pairs terminated at 745 Fifth Avenue in the basement. HESSE and one of his assistants named GOTSCH inspected the basement at 745 Fifth Avenue and found that pair number 849 was cross-connected to 573 house cable pair. Pair 868 was cross-connected to 583 house cable pair. These two house pairs terminated at an M.D.F. frame on the 23rd floor. 573 house cable pair was cross-connected to 186 tie-in cable. 583 house cable pair was connected to 162 tie-in cable.

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Mr. HESSE remarked that a house cable pair can serve an entire building while a tie-in cable only serves one customer. These tie-in cables ended at a terminal on the 25th floor of the building. The 186 paid tie-in cable was connected to extension 287 on Plaza 3-2900. This number is listed to the E. R. SQUIBB COMPANY. Mr. HESSE said that this connection was unauthorized by the telephone company and therefore, constituted a "tap." The 162 pair tie-in cable connected to extension 288 on Plaza 3-2900 listed to the E. R. SQUIBB COMPANY and being unauthorized by the telephone company constituted a "tap." Mr. HESSE said that both these extensions are located on the executive floor of the E. R. SQUIBB COMPANY.

Mr. HESSE said that at his request the 849 pair and the 868 pair were traced in the Central Office located at 228 East 56th Street. This assignment was performed by Central Office Foreman R. STEPHENS. Mr. STEPHENS advised him that these pairs were cross-connected to the 350 and 402 pairs in the 8962 cable which terminated at 989 First Avenue in the basement, which is another entrance to 360 East 55th Street, which are one and the same address. They found that the 350 pair was cross-connected to house cable pair 73 and that the 402 pair was cross-connected to the 69 pair in the house. These pairs terminated in the hall on the 4th floor of the building located at 989 First Avenue or 360 East 55th Street. On the 4th floor, pairs 73 and 69 were connected with pair 16, an inside wire cable, and these two pairs were extended into a duct. Mr. HESSE said that at that time they did not know where this duct went.

Mr. HESSE said that his assistant GOTSCH made a record of the other pairs working on the inside of the wiring cable. This record is as follows:

The 54 pair in the house was cross-connected with the 314 pair in the 8962 cable.

The 57 pair in the house was cross-connected with the 42 pair in the 7906 cable.

The 58 pair in the house was cross-connected with the 45 pair in the 7906 cable.

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The 63 pair in the house was cross-connected with the 339 pair in the 8962 cable.

The 65 pair in the house was cross-connected with the 400 pair in the 8962 cable.

The 68 pair in the house was cross-connected with the 290 pair in the 8962 cable.

These cross-connections were traced in the Central Office and the following information discovered:

The 314 pair was cross-connected to Plaza 5-1725, which is listed to SHANNON, 360 East 55th Street, Apartment 4-M. (Authorized).

The 42 pair in the 7906 cable was cross-connected to TEEmpleton 8-4819, which is listed to [REDACTED] (Unauthorized).

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The 45 pair in the 7906 cable was cross-connected to Plaza 8-864, which is listed to RUDOLPH HEINEMAN, 465 Park Avenue, Room 29A. (Unauthorized)

The 339 pair in the 8962 cable was cross-connected to Eldorado 5-4358, which is listed to SHANNON at 360 East 55th Street. (Authorized).

The 400 pair in the 8962 cable was cross-connected to Plaza 3-2768, which is listed to the E. R. SQUIBB COMPANY, 745 Fifth Avenue. (Unauthorized).

Mr. HESSE said that since this was not the company's main telephone listing it was probably a private line for an executive.

The 290 pair for the 8962 cable was cross-connected to Plaza 3-2967, which was listed to the E. R. SQUIBB COMPANY. (Unauthorized). According to Mr. HESSE, this was probably an executive number.

Mr. HESSE said that the term authorized, referred to above, meant that the connection was authorized by the company and therefore, in his opinion a legal connection, and that the term unauthorized meant that the telephone company had not granted

permission for that connection to be made and therefore, in his opinion, the connection was illegal or a "tap."

Mr. HESSE said that by a process of deduction, he and his staff felt that the 16 pair on the inside wire cable on the 4th floor at 360 East 55th Street went to the SHANNON apartment, number 4-M. He said that the Supervisory Staff in the Central Office on 2/11/55 at about 8:15 A.M. advised that the cross-connection of the 42 pair in the 7906 cable with TEMpleton 4-4819 had been removed and this cross-connection was made with TEMpleton 8-9295. This latter number is listed to INGRID DAIL, 521 Park Avenue, Apartment 1-B. Mr. HESSE said the supervisory personnel did not observe anyone making this change and the fact that the cross-connection was changed from one telephone number to another is merely a deduction on their part, inasmuch as the TEMpleton 4-4819 cross-connection had been removed and the TEMpleton 8-9295 cross-connection was in existence on the morning of 2/11/55 and had not been at the time of the previous inspection.

Mr. HESSE said that on the afternoon of 2/11/55 he visited Deputy Chief Inspector Edward Feeley and presented to him all the information he had gathered. HESSE said that he told Feeley that he had no proof of any illegal activities, had made no recordings since he was not legally authorized to do so, and that his information was limited. HESSE advised Feeley that he would like to gain access to SHANNON'S apartment, number 4-M at 360 East 55th Street, in order to substantiate the deductions he had made that unauthorized and illegal use was being made of telephone company equipment, and in order to obtain additional information on which to base an investigation to determine if other telephone company employees were engaging in unauthorized activities.

Mr. HESSE stated that he did not know whether Feeley believed that a violation of the New York State laws had occurred, but he does know two of his assistants, GOTSCH and GILBERT accompanied by detectives of the New York City Police Department gained access to the apartment in question later that afternoon. Mr. HESSE stated that since he was not present when the premises at 360 East 55th Street were inspected, he would prefer to have

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GOTSCH and GILBERT, who were there, furnish first hand information about this matter.

Mr. HESSE said that prior to the time that the inspection of the premises at 360 East 55th Street was made on the afternoon of 2/11/55, WALTER C. ASMANN was called into the office of EDWARD BARDES, District Plant Superintendent, on the 4th floor of 228 East 56th Street. EDWARD CONNELL, Division Plant Superintendent and HESSE were present on this occasion.

ASMANN was questioned as to whether he had been performing any unauthorized operations in connection with his employment and relative to his financial situation. ASMANN at first denied any wrong-doing but after considerable questioning he finally admitted his activities. He said that about six month previous, RUH had approached him and asked him if he would like to make thirty-five dollars in a couple of days for running a cross-connection. ASMANN agreed to do this since he said he needed the money being in debt to the extent of about \$700.00 because of an automobile accident, and subsequently ASMANN ran approximately 18 cross-connections for RUH, being paid thirty-five dollars on each occasion.

HESSE said that he believed that ASMANN is just a young fellow who was a tool in the matter and had been easily led. Asmann told them that he had no idea what he was doing and did not think it was serious. ASMANN wrote out and signed a statement which was witnessed by HESSE, J. WISSMAN, Central Office Superintendent, who is the second line boss of ASMANN, and GOTSCH. RUH was then brought in and HESSE said that he was not present at the beginning of this interview.

RUH, as soon as the questioning started, was reported to have said that he was glad that it was finally over. RUH likewise furnished a handwritten signed statement, although after one sentence he stopped and asked if it would be used by the Police Department. Upon being told it would not be so used, he continued writing it out. RUH said that he had never done any outside work on the unauthorized installations. He was asked if he knew Private Detectives GRIS, SPINDEL (Phonetic), DIAMOND and BROADY. RUH advised that he knew them all except BROADY.

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Both of the above signed statements were handwritten by the subjects and one carbon copy of each was made. These carbon copies are in the possession of the individual subjects concerned. [REDACTED]

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[REDACTED] The telephone company does not have copies of statements.

In his statement, referred to above, RUH stated that he was the contact man for the Central Office building located at 228 East 56th Street. He stated that he did not mean to imply that he was aware of any similar operations taking place in other offices. He stated that he directed ASMANNN'S activities and was paid \$100.00 per job by SHANNON. He said that he had known SHANNON for a long time having gone to school with him. RUH did not implicate anyone other than SHANNON.

HESSE stated that at the time RUH and ASMANNN were questioned, they each had a company workbook in their rear back pockets. HESSE stated that he inspected these books and observed that all of the pairs and cross-connections referred to above were set forth in these books. He said that he took possession of these books [REDACTED]

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[REDACTED] Mr. HESSE explained that these notebooks are issued by the company and are kept by all employees doing that type of work. HESSE stated that later that afternoon he received a call from GOTSCH who advised him that he and GILBERT were in SHANNON'S apartment at 360 East 55th Street. GOTSCH told HESSE that they had found 8 turntables with portable plugs connected and jacks in the apartment. GOTSCH said that the plugs and jacks were not connected and none of the equipment was in operation. GOTSCH asked HESSE if the equipment should be seized. HESSE told him that that was a matter for the Police Department to decide. HESSE stated that before GOTSCH and GILBERT left the premises located at 989 First Avenue and 360 East 55th Street, they took out all of the cross-connections. Relative to the turntables referred to above, HESSE said that RUH told him he had visited the premises and that there were 10 turntables. HESSE said that he believed that private detective agencies were involved, although RUH and ASMANNN had denied this. He said that this belief is based in part on the following occurrences.

NY 139-10

One of the telephone company testers named SULLIVAN is employed at 104 Broad Street and lives in New Jersey. While he was at his home on Sunday, 2/13/55, he was visited by a man who identified himself as STEVE BROADY. BROADY told SULLIVAN that he knew Captain SCHWARTZ, who apparently was known by SULLIVAN from his Army experience. HESSE said it is his understanding that SULLIVAN now works for the General Electric Company in Schenectady, New York, on electronics. BROADY asked SULLIVAN if he would do him a favor. He said he was aware that SULLIVAN was a tester employed at 104 Broad Street, New York City. He asked SULLIVAN if he would test BROADY'S telephone lines about once a month because he believed they were being tapped. SULLIVAN replied that he was unauthorized to do that and that BROADY should take this matter up with the telephone company or the FBI. BROADY said he would not take the matter up with the FBI because the FBI was full of Communists. BROADY stated that he could buy a present for SULLIVAN'S daughter if SULLIVAN were to assist him in this matter. SULLIVAN again refused and BROADY left. HESSE said that SULLIVAN was contacted at his employment a couple of days later in this same matter and SULLIVAN again refused.

HESSE said that ASMANN told him that he had never done any outside work and had performed all of his assignments at the Central Office. HESSE said he believed this inasmuch as he did not think ASMANN was qualified to do anything else. He said that a company employee had reported seeing RUH in the SQUIBB Building.

When questioned about this RUH had said that he had gone there on company business to see a splicer.

HESSE said that this operation started about June 1954, and that both subjects had said that only about 18 lines were involved. He said that by hearsay, he had learned from GOTSCH that two men and two women were in the apartment at 360 East 55th Street at the time the premises were inspected. He said that two of these individuals identified themselves as Mr. and Mrs. SHANNON and displayed a marriage certificate.

NY 139-10

RICHARD BLUE

The following investigation was conducted by
SA FRANCIS R. JULES and SA JAMES M. ANDERSON on 2/19/55:

At approximately 12:30 p.m., Mr. RICHARD BLUE, General Plant Manager for the Island of Manhattan, New York Telephone Company, was interviewed in his office at 140 West Street, New York City, in the presence of Mr. EDWARD F. SNYDSTRUP, General Litigation Attorney, New York Telephone Company. Mr. BLUE furnished the following information:

Mr. BLUE stated that he was in charge of construction and maintenance of all telephone plants located on Manhattan Island. BLUE stated that, to the best of his recollection, during the third week in January, 1955, he was made aware of a situation involving a suspicious employee whom he identified as CARL RUH. Mr. BLUE stated that he recalls this information was first brought to his attention by Mr. KENNETH NORRIS, JR., General Plant Personnel Supervisor.

According to Mr. BLUE, NORRIS related that he had received the information concerning RUH from LOUIS C. HESSE, Chief Special Agent, New York Telephone Company. BLUE instructed NORRIS to keep him advised of pertinent developments in the case.

NORRIS subsequently advised BLUE that another telephone employee, whom he identified as WALTER C. ASMANN, was implicated in the case. BLUE stated that he instructed NORRIS to keep him advised of pertinent developments in the case.

NORRIS was also instructed that, when sufficient information had been developed, that these employees were engaging in activities detrimental to the best interest of the New York Telephone Company, these employees should be brought in and interrogated.

Mr. BLUE explained his primary interest in the case was:

1. To remove any employee engaging in activities detrimental to the New York Telephone Company.

NY 139-10

2. To develop sufficient evidence which could be used as a basis for the dismissal of the employees without union repercussions.

BLUE stated that all information pertaining to the case was furnished to him orally and no formal written reports were received by Mr. BLUE concerning instant investigation.

BLUE said that he had not personally interviewed the employees involved and, to the best of his knowledge, Mr. HESSE, along with E. BARDEN, District Plant Superintendent, and Mr. E. CONNELL, Division Plant Superintendent, Eastern Division, conducted the actual interrogation of the employees as well as taking signed statements.

BLUE said that he read these signed statements which were handwritten and not too long in length. BLUE recalled that there was an admission of guilt on the part of both employees of malpractice on their part.

BLUE stated after reading these statements he was convinced that he had sufficient grounds for proper discharge of these employees. BLUE related that he had only seen the original copies of these statements and knew of no photostatic or duplicate copies.

BLUE advised he could not recall whether he had, in fact, issued the instructions that the employees involved be dismissed and stated that due to the facts that were presented it was a foregoing conclusion that the employees would be discharged without an official order from Mr. BLUE himself.

BLUE advised that he had kept his immediate supervisor, Mr. W. POWELL, Vice-President and General Manager, aware of pertinent developments in the case and assumed that the information had been passed on up to the President of the New York Telephone Company.

Mr. BLUE stated that he had only received general information concerning the raid on the SHANNON apartment and did not believe that any equipment belonging to the New York Telephone Company had been removed from the apartment at the time or subsequent to the raid.

NY 139-10

BLUE concluded by stating that he had only received heresay information concerning the case since he was responsible for approximately 9,000 employees of the New York Telephone Company and had not taken an active participation in the investigation.

BLUE stated that, in his opinion, the best source of information concerning the investigation could be obtained from Mr. LOUIS PESSE, Chief Special Agent of the New York Telephone Company, who supervised the investigation.

NY 139-10

CHARLES JOHN GOTSCH

CHARLES JOHN GOTSCH, Special Agent of the New York Telephone Company, was interviewed on February 19, 1955 by SAS FRANCIS E. DWYER and GERARD A. POTE. This interview was conducted in the presence of ERIC B. NELSON, General Attorney of the New York Telephone Company. 2/24/58
19 Hm

GOTSCH stated that he has been employed approximately 30 years at the Telephone Company in the capacity of Assemblyman, Repairman and Special Agent.

GOTSCH advised that on February 10, 1955, Mr. HESSE, Chief of Investigations, New York Telephone Company, requested that GOTSCH meet him in the vicinity of 56th Street and Third Avenue, New York City. He arrived at this location at approximately 11 AM together with SA GILBERT of the Telephone Company. GOTSCH advised that he proceeded to the sub-basement of 745 Fifth Avenue and examined the ~~Feder~~ pairs which were cross-connected to the house pairs. GOTSCH said that he had no record of the ~~Feder~~ pairs which he checked inasmuch as Mr. HESSE provided this information. He merely verified the fact that a ~~Feder~~ pair was connected to a house pair. Then according to the chart maintained in this cross box, it was determined that the instant house pairs appeared on the 23rd floor. (ER. Squibb Bldg.) Hm 2/24/58

Mr. HESSE and Mr. GOTSCH thereafter went to the 23rd floor and found that there was a tie cable from there going to the 25th floor which services the PBX Board. GOTSCH stated that according to the present wiring, two extensions were being covered illegally.

Thereafter, GOTSCH and HESSE went to 360 East 55th Street, inasmuch as HESSE had ascertained from the Central Office that these ~~Feder~~s terminated at 360 East 55th Street. After a perusal of the chart maintained in this cross box at 360 East 55th Street, they ascertained that the questioned house pairs reappeared on the fourth floor of instant apartment house. HESSE and GOTSCH then went to the fourth floor and after locating the house box determined that a 16 pair cable was connected in part to a number of house pairs reappearing Hm 2/24/58

NY 139-10

on this floor. He advised that this 16 pair cable entered a conduit and the terminal point was unknown to either of them.

On the next day, February 11, 1955, GOTSCH, together with Telco Special Agent J.M. GILBERT, and two New York City Police Department detectives, entered Apartment 4M at 360 East 55th Street.

GOTSCH stated that upon entering the apartment and conducting a survey of the telephone facilities within the premises, he determined that a closet contained a house box having 16 pairs. On the cover of the house box there appeared a piece of paper containing telephone numbers. GOTSCH then went to each house pair and by utilizing his test set ascertained from the Telco operator that those pairs on which he asked the identity of the subscriber corresponded to the telephone numbers appearing on the sheet of paper appearing on the door of the house box. GOTSCH stated that he saw no indications of any recording devices that were hooked up for recording purposes but he did note that this closet contained equipment for making such recordings.

GOTSCH removed all illegal taps and left the two authorized phone connections going into the apartment of SHANNON. On the advice of HESSE, Chief of Investigations, he removed no equipment used in this illegal wire tapping and stated that to his knowledge neither did the police.

GOTSCH stated he did not assist in any way with the interview of RUH or ASMANN.

NY 139-10

JOSEPH NORRIS GILBERT

The following investigation was conducted on February 19, 1955 by SAs JOHN G. FLEMING and JAMES H. KAVANAGH.

New York Telephone Company's (Telco) Special Agent JOSEPH NORRIS GILBERT, 321 Bedford Park Boulevard, Bronx 58, New York, was interviewed in the presence of MALCOLM MUNSON, Attorney, Legal Division, New York Telephone Company. He advised that he had been born in New York City on April 13, 1903. He stated that he has been an employee of the New York Telephone Company from December 13, 1922, and that he did installation and special wiring work until March, 1948, when he became a special agent for the New York Telco.

He stated that he was first assigned to the instant case on February 10, 1955, by Mr. LOUIS HESSE, Chief Special Agent of the New York Telco. He stated that he did not know how the original complaint arose or who was named in the complaint. He said that he was told that it was believed that there were irregularities in regard to certain lines at the telephone office at 228 East 56th Street and was asked to investigate. He stated that he did not know who furnished the information concerning the irregularities to Mr. HESSE, but that he believed that Mr. EDWARD BARDES, District Superintendent of the New York Telco Office, 228 East 56th Street, or Mr. STILVENSON, Test Foreman at the same office, or Mr. CONNELL, Division Plant Superintendent, Eastern Division, New York Telco, 2 Park Avenue, New York City, would be able to furnish the information.

GILBERT advised that he had not observed CARL RUH or WALTER ASMANN during the Telco investigation and did not participate in any investigation in regard to them and did not participate in any surveillance or interrogation of them. He stated that the only conversation he had in this regard was to casually ask ASMANN on February 11, 1955 why he had done it and said that ASMANN just answered that he had, without giving any further explanation. He advised that he had no information as

NY 139-10

to whether or not any signed statements were taken from RUH or ASMANN, since he was not present at the interviews.

GILBERT advised that he had no information as to how the Telco knew that specific lines were being tapped. He said he was instructed to check the cable address of certain telephone lines which were concerned in the irregularities. He stated that he did not recall the numbers but that Chief Special Agent HESSE should have a record of them.

GILBERT advised that on inspection of the main distribution frame at 228 East 56th Street he observed that several telephone lines had been back-tapped to a cable which went to a cable address at 989 First Avenue. He stated that on February 10, 1955 he checked the cable address at 989 First Avenue where the main frame for 360 East 55th Street is located. There he said he found jumpers on four or six lines from the feeder to a house cable which went to a sixteen pair terminal strip on the Fourth Floor of 360 East 55th Street. He stated that at this time he was accompanied by Telco's Special Agent C.J. GOTSCH; EDWARD BARDES, District Superintendent, 228 East 56th Street; Mr. MILLER, Test Supervisor; and Mr. WENIG, Wire Chief, all Telco employees. From the Fourth Floor terminal box he observed a cloth-covered PL (private line) 16-pair cable which went via a duct to Apartment 4-M. He stated that a 16-pair cable going into a private apartment was very unusual in Telco procedures, and that numerous of these pairs were connected to the house box on the Fourth Floor.

GILBERT advised that on February 11, 1955, after Chief Telco Special Agent HESSE had arranged for assistance of the New York City Police Department detectives, Telco's Special Agent GOTSCH and he, and Detectives JAMES COEN and JOHN NORRIS, of the Thirteenth Squad, called at Apartment 4-M, 360 East 55th Street. He said that GOTSCH rang the bell and advised a male who answered that they were Telco men and wanted to inspect the telephone. GILBERT said both a male and a female voice answered and said they were busy, and that the Telco men should go away. Thereupon, the police rang the bell, identified themselves and

NY 139-10

were admitted. GILBERT said GOTSCH and he waited at the threshold of the apartment until the police told them they could come in and inspect the phone. WARREN SHANNON and a woman identified as his wife were the only persons present in the apartment at the time, according to GILBERT.

On inspection of the room, GILBERT noted that a 16-pair cable entered a closet in the living room. The closet was shielded by a draw-drape and was locked. At the request of the police, SHANNON opened the closet, where GILBERT observed approximately eight homemade turntables, approximately fifty reels of recording tape, one record album, an automatic clock with day and night dials, and a 16-pair terminal strip with a 16-pair cable attached thereto. He stated that coming from the terminal strip in the closet were 12 jacks. GILBERT said Telco's Special Agent GOTSCH inserted jacks into the turntable plugs and then with a Telco test set raised a dial-tone at the terminal strip and checked the numbers which were marked on the jack wires and received a tone signal from the telephone operator, which verified that the numbers listed on the jacks were the ones actually being tapped. GILBERT said that although the monitoring set was of the size that could handle twelve lines, only four or six lines were actually being tapped, but that no recording devices were in operation when the closet was opened. He said that after GOTSCH had checked the installation, he disconnected the jacks, and that he, GOTSCH and the two detectives left SHANNON'S apartment. GILBERT said that GOTSCH then disconnected the house pairs in the Fourth Floor terminal box, and after going to the basement GOTSCH removed the jumpers from the underground feeder to house pairs of the 16-pair cable. No equipment was removed by Telco Agents.

GILBERT said that neither SHANNON nor the woman identified as his wife made any admissions. He said SHANNON said, "No comment," and that the woman was hysterical.

After leaving the building, GILBERT said he returned to 228 East 56th Street and advised Chief Special Agent HESSE what had transpired. He said that HESSE had been interviewing RUH and ASMANN when he entered that evening.

NY 139-10

GILBERT said that no search of the apartment other than the check for telephone equipment was made on February 11, 1955, that no evidence connecting anyone other than SHANNON and his wife to the wiretapping was found in the apartment, and that nothing connecting CHARLES GRIS or JOHN G. BROADY to the wiretap operation was noted. *hm 2/24/55*

GILBERT also said that he had not had a conference with any Telco supervisor as to whether any arrests were to be made during the February 11, 1955 visit to SHANNON'S apartment.

- C -

NY 139-10

ADMINISTRATIVE PAGE

INFORMANTS

Identity of Source	Date of Activity and/or Description of Information	Date Received	Agent to Whom Furnished	File No. Where Located
T-1 <div data-bbox="113 616 406 774"></div>	2/18/55 2/19/55	2/18/55 2/19/55	SA JOHN J. DANAHY	Instant report b7D
T-2 <div data-bbox="120 822 271 862"></div>	2/19/55 Subscribers to telephone numbers	2/19/55	FRANCIS E. DWYER	"

Assistant Attorney General
Warren Olney III

March 3, 1955

Director, FBI

gr
Ca
**JOHN G. BROADY, with alias
John Steve Broady;
CHARLES GRIS; CARL RUH;
WALTER C. ASMANN;
WARREN B. SHANNON;
UNAUTHORIZED PUBLICATION
OR USE OF COMMUNICATIONS**

G.I.R.-8

1-1
2-1
4-1
9-1

Reference is made to our memoranda dated February 23, 1955, and February 28, 1955, concerning captioned matter.

Attached hereto are one copy each of two letters, both dated February 25, 1955, which this Bureau received from Mr. Thomas S. Nichols of New York City, and a copy of our acknowledgment thereof dated March 3, 1955.

The above is for your information.

An early reply to our previous memoranda requesting you to advise this Bureau whether you desire any further investigation concerning this case is desired.

Attachments (3)

cc: - Mr. Nichols

RECORDED-27

29 MAR 4 1955

HJM:mrs

(10)

RECEIVED - COMMUNICATIONS SECTION

RECEIVED - COMMUNICATIONS SECTION

COMM - FBI
MAR 3 1955
MAILED 26

RECEIVED - COMMUNICATIONS SECTION

MAR 29 1955

7269

RECEIVED - COMMUNICATIONS SECTION

pm

COPY/led

MR. L. V. BOARDMAN

3/7/55

A. ROSEN

John L. Broady

b7D

AR:LS
(3)

139-149-✓
NOT RECD
117 MAR 10 1955

ORIGINAL COPY FILED IN 62-9851-100

MARCH 10, 1955

AIRTEL

SAC, NEW YORK (139-10)

MAIL

JOHN G. BROADY, ET AL; UPUC. REBUAIRTEL 2-28-55. SUAIRTEL
RESULTS OF CONTACT WITH STEVE BROADY.

HOOVER

(139-149)

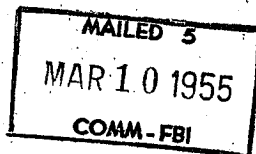
HJM:mrs

(4)

Tolson _____
Boardman _____
Nichols _____
Belmont _____
Harbo _____
Mohr _____
Parsons _____
Rosen _____
Tamm _____
Sizoo _____
Winterrowd _____
Tele. Room _____
Holloman _____
Gandy _____

RECORDED-11

24 MAR 11 1955



67 MAR 15 1955

OLIN MATHIESON CHEMICAL CORPORATION
MATHIESON BUILDING
BALTIMORE 3, MARYLAND

THOMAS S. NICHOLS
PRESIDENT

March 7, 1955

Mr. Tolson	✓
Mr. Boardman	✓
Mr. Nichols	✓
Mr. Belmont	✓
Mr. Harbo	✓
Mr. Mohr	✓
Mr. Parsons	✓
Mr. Rosen	✓
Mr. Tamm	✓
Mr. Sizoo	✓
Mr. Winterrowd	✓
Tele. Room	✓
Mr. Holloman	✓
Miss Gandy	✓

Mr. John Edgar Hoover, Director
United States Department of Justice
Federal Bureau of Investigation
Washington 25, D. C.

Dear Mr. Hoover,

Thank you very much for your letter of March 3 referring to the alleged wiretapping of the offices of our Corporation located in the Squibb Building in New York. I do hope that as this wiretapping atmosphere in New York City clears up, we will have a complete revelation of the culprits who have apparently indulged in this contemptible encroachment upon our privacy.

You may be assured that your representatives will receive from us all possible cooperation in the event either you or the Assistant Attorney General Warren Olney, III deems it desirable to contact us.

With best wishes.

Sincerely,

Thomas S. Nichols

TSN:JQ

Thomas S. Nichols *md.*

RECORDED - 15

INDEXED - 15

EX-103

MAR 16 1955

71 MAR 21 1955

THOMAS S. NICHOLS
MATHIESON BUILDING
BALTIMORE 3, MARYLAND

EXP-PROC
MAR 8 1955

(John G. Broody case)

139-149

3/15/55

AIRTEL

SAC, NEW YORK (139-10) MAIL

JOHN G. BROADY, WA.; ET AL.; UPUC. REURAIRTEL 3/11/55. IN

ACCORDANCE WITH BUREAU INSTRUCTIONS CONTAINED IN BUAIRTEL

2/28/55, YOU SHOULD PROMPTLY LOCATE AND INTERVIEW BROADY

CONCERNING THE ALLEGATION THAT THE FBI WAS FULL OF COMMUNISTS.

BE MOST DISCREET IN YOUR INTERVIEW WITH HIM AND BE ALERT TO

THE FACT THAT HE IS MIXED UP IN WIRE TAPPING AND COULD POSSIBLY

BE CARRYING A RECORDING DEVICE ON HIS PERSON. YOUR

SUGGESTION IN REFERENCED AIRTEL THAT HE WILL NOT BE INTER-

VIEWED IN ANY PLACE OTHER THAN THE NEW YORK OFFICE IS A GOOD

ONE; HOWEVER, THE BUREAU IS NOT LIMITING YOU AS TO THE PLACE

OF THE INTERVIEW WITH THE EXCEPTION THAT HE SHOULD NOT BE

INTERVIEWED AT HIS RESIDENCE OR HIS OFFICE OR IN ANY OTHER OFFICE

WITH WHICH HE MAY BE ASSOCIATED. YOU SHOULD PROMPTLY REPORT

THE RESULTS OF THIS INTERVIEW TO THE BUREAU BY AIRTEL. A

SIGNED STATEMENT SHOULD BE OBTAINED FROM HIM IF POSSIBLE.

HOOVER

139-149

HJM/pam/lh

(4)

NOTE: By airtel 2/28/55, we instructed New York to promptly interview Steve Broady. He was to have made the statement to Sullivan, a telephone company tester from New Jersey, that the FBI was full of Communists. New York interviewed Sullivan and Sullivan was not certain as to what Broady had said and refused to directly quote Broady. District Superintendent of the New York Telephone Company, Mr. Russell, to whom Sullivan had reported this allegation 2/14/55, was interviewed and stated that he did not recall Sullivan using the word Communists when he described Broady's statement concerning the FBI.

Tolson _____
Boardman _____
Nichols _____
Belmont _____
Harbo _____
Mohr _____
Parsons _____
Rosen _____
Tamm _____
 Sizoo _____
Winterrowd _____
Tele. Room _____
Holloman _____
Gandy _____

COMM - FBI

MAR 15 1955

MAILED 19

60 MAR 22 1955

AIR - TEL
FEDERAL BUREAU OF INVESTIGATION
UNITED STATES DEPARTMENT OF JUSTICE
- - - NEW YORK, 3/11/55

Mr. Tolson	_____
Mr. Boardman	_____
Mr. Nichols	_____
Mr. Belmont	_____
Mr. Ladd	_____
Mr. Mohr	_____
Mr. Parsons	_____
Mr. Rosen	_____
Mr. Tracy	_____
Mr. Egan	_____
Mr. Gurnea	_____
Mr. Harbo	_____
Mr. Hendon	_____
Mr. Pennington	_____
Mr. Quinn	_____
Mr. Nease	_____
Miss Gandy	_____

Transmit the following Teletype message to: BUREAU

JOHN G. BROADY, WA; ET AL; UPUC. REBUAIRTEL, 2/28/55.
EUGENE T. SULLIVAN, TESTER FOR THE NEW YORK TELEPHONE COMPANY, WHO
IS EMPLOYED AT 104 BROAD STREET, NYC, AND RESIDES AT 259
DORCHESTER ROAD, RIVER EDGE, NEW JERSEY, WAS INTERVIEWED BY
SAS JOHN FRANCIS CURRAN AND TERRENCE F. MC SHANE THIS DATE.
SULLIVAN ADVISED THAT AN INDIVIDUAL PREVIOUSLY UNKNOWN TO HIM
PERSONALLY CONTACTED HIM AT HIS HOME IN RIVER EDGE, NEW JERSEY
ON FEBRUARY 13 LAST. AT THE TIME OF THIS CONTACT THIS INDIVIDUAL
INTRODUCED HIMSELF AS JOHN BROADY AND SAID THAT HIS BUSINESS
ADDRESS WAS 19 RECTOR STREET, NYC. SULLIVAN SAID THAT A
PHOTOGRAPH OF THE SUBJECT, BROADY (TAKEN IN 1949), APPEARED TO
BE IDENTICAL WITH THIS INDIVIDUAL. BROADY TOLD SULLIVAN THAT
HE WAS WORKING ON HIGHLY SECRET MATTERS FOR WESTINGHOUSE AND
GENERAL ELECTRIC. BROADY TOLD SULLIVAN THAT HE, SULLIVAN,
WAS RECOMMENDED TO BROADY BY JOHN SCHWARTZ (PHONETIC) OF
GENERAL ELECTRIC, SCHENECTADY, NY, AS AN INDIVIDUAL WHO COULD
ASSIST BROADY AND WHO COULD BE TRUSTED. SULLIVAN BELIEVES THAT
SCHWARTZ IS IDENTICAL WITH A CAPTAIN JOHN SCHWARTZ WHOM HE KNEW
WHILE SERVING IN THE ARMY SIGNAL CORPS. DURING WORLD WAR II.

③ - BUREAU (REGULAR)

JFC:BLW (#1-G)
NY 139-10

Mr. Rosen

RECORDED-57/

20
MAR 17 1955

Approved

JFK
Special Agent in Charge

Sent

M

Per

FEDERAL BUREAU OF INVESTIGATION
UNITED STATES DEPARTMENT OF JUSTICE

- - - - -

Transmit the following Teletype message to:

PAGE TWO

SULLIVAN SAID THAT BROADY ASKED HIM TO TEST THE LINES OF HIS, BROADY'S, OFFICE. SULLIVAN ASKED BROADY IF HE THOUGHT HIS LINES WERE BEING TAPPED AND BROADY SAID THAT HE DID NOT THINK SO. SULLIVAN REFUSED TO PERFORM THIS TASK AND ADVISED BROADY TO HAVE THIS CHECK MADE THROUGH OFFICIAL TELEPHONE CHANNELS. BROADY SAID THAT BECAUSE OF THE SECRET NATURE OF HIS WORK HE DID NOT WANT THE TELEPHONE COMPANY TO KNOW ABOUT THIS TEST. AFTER HIS REFUSAL SULLIVAN SAID THAT BROADY WANTED TO "PAY HIM FOR HIS TIME," BUT HE REFUSED. THE FOLLOWING DAY BROADY CALLED SULLIVAN AND AGAIN REPEATED HIS REQUEST. DURING THE CONVERSATION HE AGAIN IMPRESSED UPON SULLIVAN THAT HIS ACTIVITIES WERE OF A HIGHLY SECRET NATURE. AT THIS POINT SULLIVAN TOLD HIM THAT IF THE PROBLEM ON HIS SECRET WORK WAS SO GREAT, HE SHOULD GO TO THE FBI. SULLIVAN SAID THAT TO THE BEST OF HIS RECOLLECTION BROADY ANSWERED IN WORDS TO THE EFFECT THAT EVEN THE FBI COULD NOT BE TRUSTED IN THESE MATTERS. SULLIVAN DECLINED TO USE THESE WORDS AS A DIRECT QUOTATION OF BROADY'S. HE STATED THAT HE COULD NOT RECALL BROADY'S EXACT WORDS BUT HE DOES NOT RECALL HIM MENTIONING THE WORD COMMUNIST. HOWEVER, SULLIVAN SAID THAT

Approved _____ Sent _____ M Per _____
Special Agent in Charge

FEDERAL BUREAU OF INVESTIGATION
UNITED STATES DEPARTMENT OF JUSTICE

- - - - -

Transmit the following Teletype message to:

PAGE THREE

FROM THE CONVERSATION HE GAINED THE IMPRESSION THAT BROADY MEANT THAT THERE MIGHT BE COMMUNISTS IN THE FBI. SULLIVAN SAID IT WAS ALSO HIS IMPRESSION THAT BROADY MAY HAVE SAID THIS ABOUT THE FBI IN ORDER TO IMPRESS UPON HIM HOW MUCH HE, BROADY, TRUSTED HIM. SULLIVAN SAID HE AGAIN REFUSED BROADY AND HAS NOT HEARD FROM HIM SINCE. SULLIVAN REPORTED THE INCIDENTS TO THE DISTRICT SUPERINTENDENT OF THE NEW YORK TELEPHONE COMPANY, MR. E. J. RUSSELL. MR. RUSSELL STATED THAT AT THE TIME SULLIVAN TOLD HIM THE STORY ON MONDAY MORNING, FEBRUARY 14 LAST, HE RECALLS THAT SULLIVAN DID USE THE WORD COMMUNIST WHEN DESCRIBING BROADY'S STATEMENT CONCERNING THE FBI. MR. RUSSELL POINTED OUT, HOWEVER, THAT AT THE TIME OF HIS CONVERSATION WITH SULLIVAN, SULLIVAN WAS GREATLY UPSET OVER THE INCIDENT AND WAS PARTICULARLY WORRIED OVER HIS FAMILY'S WELFARE. IN VIEW OF THE ABOVE, THE BUREAU IS REQUESTED TO NOTIFY NY OFFICE IF IT IS STILL DESIROUS OF HAVING BROADY INTERVIEWED IN THIS MATTER. IF THE BUREAU DESIRES BROADY INTERVIEWED, UACB, HE WILL NOT BE INTERVIEWED AT ANY PLACE OTHER THAN THE NYO.

KELLY

Approved _____ Sent _____ M Per _____
Special Agent in Charge

Mr. Tolson	_____
Mr. Boardman	_____
Mr. Nichols	_____
Mr. Belmont	_____
Mr. Mohr	_____
Mr. Casper	_____
Mr. Callahan	_____
Mr. Conrad	_____
Mr. DeLoach	_____
Mr. Evans	_____
Mr. Gale	_____
Mr. Rosen	_____
Mr. Sullivan	_____
Mr. Tavel	_____
Mr. Trotter	_____
Tele. Room	_____
Mr. Holloman	_____
Miss Gandy	_____

AIR-TEL

FEDERAL BUREAU OF INVESTIGATION
UNITED STATES DEPARTMENT OF JUSTICE

3/17/55, NY

Transmit the following Teletype message to: BUREAU
JOHN G. BROADY; ET AL; UPUC. REBUAIRTEL, 3/10/55. JOHN G. BROADY
WAS CONTACTED THIS DATE AND ADVISED THAT HE DID NOT DESIRE TO BE
INTERVIEWED BY NYO. WHEN IT WAS SUGGESTED THAT AN INTERVIEW BE AR-
RANGED FOR A LOCATION MUTUALLY AGREEABLE, BROADY ADVISED THAT HE WAS
VERY BUSY AT THE PRESENT TIME AND THAT HE WOULD RECONTACT THE NYO IN
THE EARLY PART OF NEXT WEEK AND ADVISE WHETHER HE WOULD BE AVAILABLE
FOR INTERVIEW.

KELLY

Mr. Rosen

3 - BUREAU (139-149) (REGULAR MAIL)

RECORDED - 71

10 MAR 18 1955

JFC:RMB (1-G)

139-10

Approved

Special Agent in Charge

Sent

M Per

FUG. SUP.

71 MAR 28 1955

RECORDED-11

INDEXED-11

139-149-22

EX-112

March 3, 1955

Mr. Thomas ~~S.~~ Nichols
President
Olin Mathieson Chemical Corporation
745 Fifth Avenue
New York 22, New York

Dear Mr. Nichols:

I do appreciate your letter of February 25, 1955, referring to the wire tapping of offices of the E. R. Squibb and Sons Division of your corporation.

I thought you would like to know that we have conducted a preliminary investigation into this situation and have referred the results to Assistant Attorney General Warren Olney III of the Criminal Division of the Department of Justice. We have asked him to advise whether he wants us to look into this matter any further and in the event he does ask for further investigation I will issue instructions that a representative of our New York Office contact you.

You referred to a visit we had several years ago which I recall with pleasure. I was indeed happy to be able to be of assistance to you in arranging for the services of Bob Hendon.

I certainly do appreciate your thoughtfulness in advising me of the matter concerning the Squibb Company.

COMM - FBI

MAR 3 1955

MAILED 20

Sincerely yours,

J. Edgar Hoover

John Edgar Hoover
Director

Tolson _____
Boardman _____
Nichols _____
Belmont _____
Harbo _____
Mohr _____
Parsons _____
Rosen _____
Tamm _____
 Sizoo _____
Winterrowd _____
Tele. Room _____
Holloman _____
Gandy _____

cc: -2- New York (Attachments 2)

SAC New York - SEE NOTE PAGE 2

LGL:

HJM:pwm:mrs (5)

71 MAR 30 1955

RECEIVED
MAR 3 1 52 PM '55
FBI NEW YORK
RECEIVED
MAR 3 1 52 PM '55
FBI NEW YORK

139-149

NOTE TO SAC, NEW YORK:

Attached are two copies of an incoming letter from Mr. Thomas S. Nichols dated 2-25-55. In the event Mr. Olney requests this Bureau to conduct any further investigation, you will be advised, and at such time Mr. Nichols should be contacted by your division.

NOTE: BUREAU:

This matter referred to by Mr. Nichols is the wire tapping case in New York entitled, "John G. Broady, et al; Unauthorized Publication or Use of Communications," Bufile 139-149. We conducted a preliminary investigation and have referred the facts to Mr. Olney for his opinion as to whether he desires any further investigation. Bufiles reflect that we conducted a special inquiry investigation on Nichols in 1942 for the Office of Emergency Management, Bufile 77-16907, and an Atomic Energy Act Applicant investigation in 1951, Bufile 116-226012. During the investigation conducted in 1942 an allegation was made by 2 individuals that Nichols was "intimate with many women" and "definitely a party man."

The Director saw Thomas Nichols on 9-13-50 and discussed generally certain matters pertaining to security of his plants. Nichols requested the Director to suggest the name of someone he might appoint as security officer of his company. The Director advised him that he would check our files and would send him the names of two or three men for whom we could vouch and would be sufficient for Nichols to contact them to see if they would be interested in the position. A notation appears on this memorandum that a letter was sent 9-15-50, Bufile 62-92958.

OLIN MATHIESON CHEMICAL CORPORATION

745 FIFTH AVENUE
NEW YORK 22, NEW YORK

THOMAS S. NICHOLS
PRESIDENT

February 25, 1955

Mr. Tolson	
Mr. Boardman	
Mr. Nichols	
Mr. Belmont	
Mr. Harbo	
Mr. Mohr	
Mr. Parsons	
Mr. Rosen	
Mr. Tamm	
Mr. Sizoo	
Mr. Winterrowd	
Tele. Room	
Mr. Holloman	
Miss Gandy	

Honorable J. Edgar Hoover
Federal Bureau of Investigation
Washington, D. C.

My dear Mr. Hoover:

John J. Broady

Attached is my letter of February 25, 1955 concerning the wiretapping of E. R. Squibb & Sons Division of Olin Mathieson Chemical Corporation, which I trust you will find self-explanatory. Needless to say, I shall await with considerable interest possible instructions from your Bureau.

I recall a most pleasant and satisfactory visit I had with you in Washington several years ago when we discussed in a most practical manner the as yet unsolved problem of industrial security to prevent sabotage. At that time you were instrumental in obtaining for me the valuable services of one of your former agents, Bob Hendon, who did a fine job for us and then went on to bigger things to become Vice President of American Railway Express.

In spite of the precaution we have taken in what I hope has been a practical approach to the problem, I am afraid we are still far from developing adequate protection for our plants in the event of war and the resulting sabotage which is most certain to follow.

I hope I shall have the pleasure of seeing you again in the near future. In the meantime, kindest regards and best wishes.

Sincerely yours,

Thomas S. Nichols

1 ENCL.
TSN:MTR
4 cc made
3-1-55
Hm

acknowledged
EX-112
let to Thomas S. Nichols
3-3-55
2 cc to SAC N.Y.

139-149

RECORDED-11

139-149-22

16 MAR 9 1955

inc to NA 9/2/55
3-3-55

OLIN MATHIESON CHEMICAL CORPORATION

745 FIFTH AVENUE
NEW YORK 22, NEW YORK

THOMAS S. NICHOLS
PRESIDENT

February 25, 1955

Honorable J. Edgar Hoover
Federal Bureau of Investigation
Washington, D. C.

Wiretapping of E. R. Squibb & Sons
Division of Olin Mathieson Chemical
Corporation, 745 Fifth Avenue,
New York City

Dear Mr. Hoover:

Because of a possible Federal violation coming under the jurisdiction of the Federal Bureau of Investigation, we in Olin Mathieson Chemical Corporation feel it our duty to apprise your agency of the facts of the recently discovered wiretap on the offices of our E. R. Squibb & Sons Division located at 745 Fifth Avenue, New York City. We are submitting this information to you for your records and whatever action you deem advisable.

On Saturday, February 19, 1955, Mr. J. C. Leppart, Executive Vice President of Olin Mathieson Chemical Corporation, was asked to appear before Mr. Francis X. Clark, Assistant District Attorney for New York County. At that meeting, Mr. Leppart was questioned concerning wiretaps alleged to have been made on four telephone lines in Mr. Leppart's office, namely two extensions, numbers 287 and 288, of the trunk lines of E. R. Squibb & Sons, Plaza 3-2900, and two private outside lines, Plaza 3-2768 and Plaza 3-2967.

Two days later on February 21, 1955, indictments were returned by the New York County Grand Jury against three individuals, namely Warren B. Shannon, of 350 East 55th Street, New York, N. Y., Carl R. Ruh, of 3336 Decatur Avenue, Bronx, N. Y., and Walter Asmann, of 145-81 175th Street, Jamaica, Queens. The indictments contained nine counts of illegal wiretapping, Mr. Shannon's apartment being identified as headquarters for the tapping and the other two individuals, who were employees of the New York Telephone Company, being charged with having participated in the illegal activity. Among the telephones alleged by the indictments to have been tapped were the four Squibb numbers mentioned above, all of which were located in Mr. Leppart's office.

The alleged tapping of the four Squibb numbers, if it occurred, was not authorized by Olin Mathieson Chemical Corporation, and

16 MAR 9 1955

EX-112 RECORDED-11

ENCLOSURE

139-149-22

3cc 3-1-55
Hm

139-149

2/25/55

we have no knowledge or information as to the purpose of the wiretapping or at whose instance it occurred. Other than discussing this matter with its counsel, Olin Mathieson Chemical Corporation has taken no steps in regard to the alleged wire-tapping beyond cooperating with the District Attorney's office. The representatives of the District Attorney's office informed us that the Federal Bureau of Investigation had been notified of the investigation being made by the New York District Attorney's office in view of a possible violation of Federal laws.

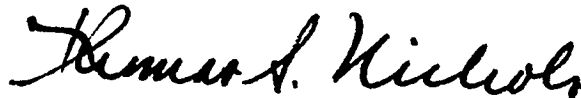
For your further information, we feel that it is incumbent upon us to inform you that Olin Mathieson Chemical Corporation is presently involved in handling classified Government contracts and is in constant negotiation with Government agencies for future contracts. Although it is the consensus of opinion of our organization that there has been no compromise of security inasmuch as classified work is not performed at 745 Fifth Avenue, we feel, however, that this information should be brought to your attention for consideration.

Should your staff after a review of the submitted information feel that an investigation is warranted by the FBI, please do not hesitate to have your agents contact us.

Very truly yours,

OLIN MATHIESON CHEMICAL CORPORATION

by



President

☐ Name Check Unit-Room 6523
☐ Attention _____
☐ Service Unit-Room 6524
☐ Forward to File Review
☒ Return to MORGAN Ext. _____
Supervisor
Room 5718

- ☐ All References
☐ Subversive References
☐ Main References Only
☐ Main_____References Only
☐ Restrict to Locality of _____
☐ Breakdown ☐ Buildup ☐ Variations
☐ Exact Name Only
☐ Exact Spelling
☐ Check for Alphabetical Loyalty Form

SUBJECT Walter C. Osborn
Address _____

Localities _____
Birthdate & Place _____

R# _____ Date _____ Searcher Initial mev

FILE NUMBER

SERIAL

NR
Walter
NR
W. C
NR

☐ Name Check Unit-Room 6523
☐ Attention _____
☐ Service Unit-Room 6524
☐ Forward to File Review
☐ Return to _____ Ext. _____
Supervisor
Room _____

- ☐ All References
☐ Subversive References
☐ Main References Only
☐ Main_____References Only
☐ Restrict to Locality of _____
☐ Breakdown ☐ Buildup ☐ Variations
☐ Exact Name Only
☐ Exact Spelling
☐ Check for Alphabetical Loyalty Form

Localities _____
Birthdate & Place FBI # 7

SERIAL

100-35211-2222

Impatiens

Vaggar's

9-1-1967

No trace but

Net 64.20

24 1-10-45

some specialize in tapes
new as different tapes

FEDERAL BUREAU OF INVESTIGATION
RECORDS SECTION

_____, 195

☐ Name Check Unit-Room 6523
☐ Attention _____
☐ Service Unit-Room 6524
☐ Forward to File Review
☐ Return to _____ Ext. _____
Supervisor
Room _____

☐ All References
☐ Subversive References
☐ Main References Only
☐ Main _____ References Only
☐ Restrict to Locality of _____
☐ Breakdown ☐ Buildup ☐ Variations
☐ Exact Name Only
☐ Exact Spelling
☐ Check for Alphabetical Loyalty Form

SUBJECT Warren B. Shannon
Address _____

Localities _____
Birthdate & Place _____

R# _____ Date _____ Searcher Initial new

FILE NUMBER

SERIAL

NR

Warren

4NT	100-134643-1	Calif
NT	31-96635-83X1	
4NT	62-13703-10844, 75	
4NT	62-47822-14X1, X2	"
4NT	62-15147-47-39p4	"
4		42p2
4NT	60-1501-7-15	
4NT	42-33226-8	no name

FEDERAL BUREAU OF INVESTIGATION
RECORDS SECTION

_____, 195

☐ Name Check Unit-Room 6523
☐ Attention _____
☐ Service Unit-Room 6524
☐ Forward to File Review
☐ Return to _____ Ext. _____
Supervisor
Room _____

☐ All References
☐ Subversive References
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☐ Main _____ References Only
☐ Restrict to Locality of _____
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☐ Exact Name Only
☐ Exact Spelling
☐ Check for Alphabetical Loyalty Form

SUBJECT _____
Address _____

Localities _____
Birthdate & Place _____

R# _____ Date _____ Searcher Initial *Tru*

FILE NUMBER

SERIAL

WR

SEARCH SLIP

Subj: Olin Mathieson Chemical Corp.Supervisor Morgan Room 5718R# _____ Date 2/28 Searcher Initial Me/raoFILE NUMBERSERIALMathieson Chemical Corp.

* I 98-41872

* I 62-92958

* I 60-3834 ✓

* I 100-349987-81 p #32

* I 60-4311-45

* I 121-49-136

* I 117-833-356 ^{II} ~~enc~~ p #67; 570 ^{II}

* I [redacted] b3 b7E

* I 99-0-4586 ✓

* I 66-3182-21 ^I4; 21 ^I5 ✓* I 62-60527-27 ^I395; 20 ^I920; ✓* I 26 ^I652;

* I [redacted]

* I [redacted]

* I [redacted]

Mathieson
Chem.

FEDERAL BUREAU OF INVESTIGATION
RECORDS SECTION

_____, 195

☐ Name Check Unit-Room 6523
☐ Attention _____
☐ Service Unit-Room 6524
☐ Forward to File Review
☒ Return to Morgan Ext. _____
 Supervisor
 Room 6718

☒ All References
☐ Subversive References
☐ Main References Only
☐ Main _____ References Only
☒ Restrict to Locality of N.Y.
☐ Breakdown ☐ Buildup ☐ Variations
☒ Exact Name Only
☒ Exact Spelling
☐ Check for Alphabetical Loyalty Form

SUBJECT Olin Mathieson Chemical
Address Corporation

Localities _____
Birthdate & Place _____

R# _____ Date 2/28 Searcher Initial Me/rao

FILE NUMBER SERIAL

Re

Mathieson Chemical Co.

4 I 98-41871

4 I b3

4 I b7E

4 T 61-280-142 p 48, 49, 53

4 T 61-280-141 encl # 24

4 I

4 I 62-60527-26946; 31251;
31347;

① written was

FEDERAL BUREAU OF INVESTIGATION
RECORDS SECTION

_____, 195

☐ Name Check Unit-Room 6523
☐ Attention _____
☐ Service Unit-Room 6524
☐ Forward to File Review
☒ Return to Morgan Ext. _____
Supervisor
Room 5718

☒ All References
☐ Subversive References
☐ Main References Only
☐ Main _____ References Only
☒ Restrict to Locality of N.Y.
☐ Breakdown ☐ Buildup ☐ Variations
☒ Exact Name Only
☒ Exact Spelling
☐ Check for Alphabetical Loyalty Form

SUBJECT E.R. Squibb and Sons
Address _____

Localities _____
Birthdate & Place _____

R# _____ Date 2/28 Searcher Initial Me
FILE NUMBER SERIAL

approx 200 ref. in L.D.
Cancelled per Harner

FEDERAL BUREAU OF INVESTIGATION
RECORDS SECTION2-28, 195

☐ Name Check Unit-Room 6523
☐ Attention Harner
☐ Service Unit-Room 6524
☐ Forward to File Review
☐ Return to Morgan Ext. _____
 Supervisor
 Room 8718

☒ All References
☐ Subversive References
☐ Main References Only
☐ Main _____ References Only
☐ Restrict to Locality of _____
☐ Breakdown ☐ Buildup ☐ Variations
☒ Exact Name Only
☒ Exact Spelling
☐ Check for Alphabetical Loyalty Form

SUBJECT Thomas S. Nichols
Address _____

Localities _____
Birthdate & Place _____

R# _____ Date 2-28 Searcher Initial lan

FILE NUMBER

SERIAL

<u>4 I</u>	<u>116-226012</u>	<u>ND</u>
<u>4 I</u>	<u>77-16907</u>	<u>ND</u>
<u>4 I</u>	<u>100-340414-21</u>	<u>ND</u>
<u>4 I</u>	[REDACTED]	b3 b7E
<u>4 I</u>	<u>116-168632-2</u>	<u>ND</u>

Thomas Nichols

I 62-92958-3

FEDERAL BUREAU OF INVESTIGATION
RECORDS SECTION3-1, 1955

☐ Name Check Unit-Room 6523
☐ Attention Karner
☐ Service Unit-Room 6524
☐ Forward to File Review
☒ Return to Morgan Ext. _____
 Supervisor
 Room 5718

☒ All References
☐ Subversive References
☐ Main References Only
☐ Main _____ References Only
☒ Restrict to Locality of N.Y., Ind.
☐ Breakdown ☐ Buildup ☐ Variations
☒ Exact Name Only
☐ Exact Spelling
☐ Check for Alphabetical Loyalty Form

SUBJECT Thomas Nichols
Address _____

Localities _____
Birthdate & Place _____

R# _____ Date 3-1 Searcher Initial ejh
FILE NUMBER SERIAL

X NT 9-18588

X NT 79-4004

I 116-168632-9, 8, 10

I 100-340414-21

NT 100-114854-6

X NT 62-77787-43/5 p 123

I 62-92958-2, 1, 3

X NT 121-16948-2

X NT 100-68214-87

X NT 100-92004-252

NT 100-326-34-4075

X NT

b3

b7E

SEARCH SLIP

Subj: Thomas NicholsSupervisor Morgan Room 5718R# _____ Date 3-1 Searcher Initial ylFILE NUMBERSERIAL42 b3
b7E

NT 94-4-980-A (N.Y. Daily

NT News 8-16-48; N.Y. Journal

NT American 8-16-48/

2-20

1955

- ☒ All References
☐ Subversive References
☐ Main References Only
☐ Main _____ References Only
☒ Restrict to Locality of N. Y.
☐ Breakdown ☐ Buildup ☐ Variations
☒ Exact Name Only
☒ Exact Spelling
☐ Check for Alphabetical Loyalty Form

SUBJECT Charles Bunker, Jr.
Address _____

Localities

Birthdate & Place.

R# _____ Date 2-20 Searcher Initial 12

~~FILE NUMBER~~

~~SECRET~~

b3

-b7E

FEDERAL BUREAU OF INVESTIGATION
RECORDS SECTION2-20, 1955

☐ Name Check Unit-Room 6523
☐ Attention _____
☐ Service Unit-Room 6524
☐ Forward to File Review
☒ Return to Myers Ext. 591
 Supervisor
 Room 5708

☒ All References
☐ Subversive References
☐ Main References Only
☐ Main _____ References Only
☒ Restrict to Locality of N.Y.
☐ Breakdown ☐ Buildup ☐ Variations
☒ Exact Name Only
☒ Exact Spelling
☐ Check for Alphabetical Loyalty Form

SUBJECT Robert M. Hutchinson
 Address _____

Localities _____
 Birthdate & Place _____

R# _____ Date 2-20 Searcher Initial Me

FILE NUMBER SERIAL
NR (none)

FEDERAL BUREAU OF INVESTIGATION
RECORDS SECTION2-20, 1955

☐ Name Check Unit-Room 6523
☐ Attention _____
☐ Service Unit-Room 6524
☐ Forward to File Review
☒ Return to Myers Ext. 591
 Supervisor
 Room 5708

☒ All References
☐ Subversive References
☐ Main References Only
☐ Main _____ References Only
☒ Restrict to Locality of N.Y.
☐ Breakdown ☐ Buildup ☐ Variations
☒ Exact Name Only
☒ Exact Spelling
☐ Check for Alphabetical Loyalty Form

SUBJECT P.S.P., Inc., Publishers
Address _____

Localities _____
Birthdate & Place _____

R# _____ Date 2-20 Searcher Initial Me

FILE NUMBER SERIAL

NP (none)
P.S.P. Publications
Compass

NI

(Phillipine Islands)
P.S.P. (Main file only)

NI

NI

b3
b7E

2/20, 1955

- ☐ Name Check Unit-Room 6523
☐ Attention _____
☐ Service Unit-Room 6524
☐ Forward to File Review
☒ Return to Myers Ext. 591
Supervisor
Room 5708

- ☒ All References
☐ Subversive References
☐ Main References Only
☐ Main _____ References Only *N.Y.*
☒ Restrict to Locality of _____
☐ Breakdown ☐ Buildup ☐ Variations
☒ Exact Name Only
☒ Exact Spelling
☐ Check for Alphabetical Loyalty Form

SUBJECT Saint Joseph's Lead
Address _____

Localities

Birthdate & Place.

R# _____ Date 2/20 Searcher Initial Me/xad
FILE NUMBER SERIAL

	No.
	Saint Joseph's - Lead - 100 + 100
PT	60-2766-8; 10; 1 8

FEDERAL BUREAU OF INVESTIGATION
RECORDS SECTION2/20, 1955

☐ Name Check Unit-Room 6523
☐ Attention _____
☐ Service Unit-Room 6524
☐ Forward to File Review
☒ Return to Myers Ext. 591
 Supervisor
 Room 5708

☒ All References
☐ Subversive References
☐ Main References Only
☐ Main _____ References Only
☒ Restrict to Locality of N.Y.
☐ Breakdown ☐ Buildup ☐ Variations
☒ Exact Name Only
☒ Exact Spelling
☐ Check for Alphabetical Loyalty Form

SUBJECT Norman C. Seidenwurm
Address _____

Localities _____
Birthdate & Place _____

R# _____ Date 2/20 Searcher Initial Me/100
FILE NUMBER SERIAL

No.

FEDERAL BUREAU OF INVESTIGATION
RECORDS SECTION2-20, 1955

☐ Name Check Unit-Room 6523
☐ Attention _____
☐ Service Unit-Room 6524
☐ Forward to File Review
☒ Return to Myers Ext. 591
 Supervisor
 Room 5708

☒ All References
☐ Subversive References
☐ Main References Only
☐ Main _____ References Only
☒ Restrict to Locality of N. Y.
☐ Breakdown ☐ Buildup ☐ Variations
☒ Exact Name Only
☒ Exact Spelling
☐ Check for Alphabetical Loyalty Form

SUBJECT Rudolph Heineman
 Address _____

Localities _____
 Birthdate & Place _____

R# _____ Date 2-20 Searcher Initial Me

FILE NUMBER

SERIAL

✓ [Redacted]

b3

b7E

62-90001-28 Encl p 20
Rudolph (var.)
NP
Rudolf (var.)

✓ [Redacted]

✓ [Redacted]

✓ [Redacted]

FEDERAL BUREAU OF INVESTIGATION
RECORDS SECTION2-20, 195

☐ Name Check Unit-Room 6523
☐ Attention _____
☐ Service Unit-Room 6524
☐ Forward to File Review
☒ Return to Myers Ext. 591
 Supervisor
 Room 5708

☒ All References
☐ Subversive References
☐ Main References Only
☐ Main _____ References Only N.Y.
☒ Restrict to Locality of _____
☐ Breakdown ☐ Buildup ☐ Variations
☒ Exact Name Only
☒ Exact Spelling
☐ Check for Alphabetical Loyalty Form

SUBJECT Ingrid Dail
Address _____

Localities _____
Birthdate & Place _____

R# _____ Date 2-20 Searcher Initial MR

FILE NUMBER

SERIAL

NP
Ingrid
NP

Office Memorandum • UNITED STATES GOVERNMENT

TO : MR. TOLSON *per B*

FROM : L. V. Boardman

DATE:
March 3, 1955

G. I. P - 1

SUBJECT: JOHN G. BROADY, wa, et al,
UNAUTHORIZED PUBLICATION
OR USE OF COMMUNICATIONS

Tolson ☒
Boardman ☒
Nichols ☒
Belmont ☒
Harbo ☒
Mohr ☒
Parsons ☒
Rosen ☒
Tamm ☒
 Sizoo ☐
 Winterrowd ☐
 Tele. Room ☐
 Holloman ☐
 Gandy ☐

Reference is made to your memorandum of 3/2/55, requesting explanation for carelessness displayed in failure to attach to a memorandum to Mr. Olney the correct copy of the rewritten letter to Mr. Thomas S. Nichols.

I immediately called to my office Supervisor J. G. Leggett, and Mr. E. H. Winterrowd, and reprimanded them severely for their carelessness in the handling of this matter. I requested immediate explanations from Leggett, Winterrowd, and Miss Margaret R. Schaeffer, clerk-stenographer. These three people share basic responsibility for not having had the correction properly made.

I requested explanation, also, from Mr. F. L. Price, whose memorandum reflects he had no opportunity to check the memorandum to Olney, and from Mr. G. H. Scatterday, who failed to recheck the attachments. I likewise failed to recheck the attachments.

The necessity for exercising care in the preparation of mail emanating from this office has been re-emphasized to Belmont, Winterrowd (in Rosen's absence), and to Scatterday and the members of my office staff.

I concur in Winterrowd's recommendation that Leggett, Miss Schaeffer, and himself, receive letters of censure, inasmuch as they were immediately and basically involved in the rewrite of the letter in question. I have reprimanded Scatterday, and recommend no further administrative action in that regard. I recommend that I receive a letter of censure, since this occurred in my divisional operations.

LVB:CSH
(3)

RECORDED-11

EX-112

20 MAR 23 1955

60 MAR 31 1955

3-30-55(62)

Office Memorandum • UNITED STATES GOVERNMENT

TO : Mr. Winterrowd *John*

FROM : F. L. Price *FLP*

SUBJECT: JOHN G. BROADY, wa, et al.
UNAUTHORIZED PUBLICATION
OR USE OF COMMUNICATIONS

DATE: March 3, 1955

Tolson _____
Boardman _____
Nichols _____
Belmont _____
Harbo _____
Mohr _____
Parsons _____
Rosen _____
Tamm _____
 Sizoo _____
Winterrowd _____
Tele. Room _____
Holloman _____
Gandy _____

This is furnished pursuant to Mr. Boardman's request for an explanation as to why the writer did not detect the fact that corrected pages of a letter to Mr. Thomas S. Nichols were not substituted in the memorandum for Mr. Olney when this material was rewritten by the Investigative Division on March 2.

Please be advised that yesterday the writer had a Bureau-approved lecture at American University and for this reason was not cognizant of the fact that the Nichols letter had been rewritten. However, shortly after arriving at the office I was informed by you that the Nichols letter had been rewritten, and the letter by itself was handed to me for reading. I read this letter and initialed the yellow. The Olney memorandum and the enclosures were not given back to me, and no opportunity was available to examine this material at this time.

FLP:mfbw *FLP*
(3)

*I only handed the letter to Mr. Price
& told him to see if he approved
of the redraft. He had no
opportunity to check the
memo. to Olney.*

John

RECORDED-11

EX-112

139-149-24
10 MAR 23 1955

139-149
SIX

1 Typed Copy
3-30-55 (62)

60 MAR 31 1955

Office Memorandum • UNITED STATES GOVERNMENT

TO : Mr. Boardman

DATE: 3-2-55

FROM : Mr. Scatterday

SUBJECT:

JOHN G. BROADY, with alias;
 CHARLES GRIS; CARL RUH; WALTER C. ASMANN;
 WARREN B. SHANNON;
 UNAUTHORIZED PUBLICATION OR USE OF COMMUNICATIONS

Tolson _____
 Boardman _____
 Nichols _____
 Belmont _____
 Harbo _____
 Mohr _____
 Parsons _____
 Rosen _____
 Tamm _____
 Sizoo _____
 Winterrowd _____
 Tele. Room _____
 Holloman _____
 Gandy _____

The rewrite of the letter to Mr. Nichols was brought to your office and I initialled and approved it. I was interested in ascertaining whether the letter had been rewritten in accordance with Mr. Tolson's instructions.

Having previously read the memorandum to Olney I did not again read it. I should have done so to ascertain whether the corrected copy of the letter to Nichols had been substituted.

It is obvious I handled this matter too fast and I have no excuse for my failure to recheck the attachments to the Olney memorandum.

GHS:WMJ
 (3)

RECORDED-11

EX-112

139-149-25
10 MAR 23 1955

1411
 60 MAR 31 1955

Office Memorandum • UNITED STATES GOVERNMENT

TO : MR. BOARDMAN *3-5-55*

DATE: 3/2/55

FROM : Clyde Tolson *Viper*SUBJECT: *John J. Brady*

Tolson	_____
Boardman	_____
Nichols	_____
Belmont	_____
Harbo	_____
Mohr	_____
Parsons	_____
Rosen	_____
Tamm	_____
Sizoo	_____
Winterrowd	_____
Tele. Room	_____
Holloman	_____
Gandy	_____

I returned to your office this morning a letter to Thomas S. Nichols, President of the Olin Mathieson Chemical Corporation in order that a more cordial letter could be prepared to Mr. Nichols. I am now in receipt of the letter which has been rewritten to Mr. Nichols. However, the Memorandum to Mr. Olney which states it is enclosing a copy of our letter to Mr. Nichols encloses a copy of the uncorrected letter.

I want an explanation for the carelessness displayed in this instance. I am becoming more and more concerned with the sloppy fashion in which mail is coming through from your office and want you to take steps to see that it comes through in a proper manner.

CT:LCB

RECORDED-11

EX-112

139-142-26
10 MAR 23 1955

139-149

Thames to Tolson
3/2/55
7/12
1 Special Agent
3-30-55/621
 60 MAR 31 1955

Office Memorandum • UNITED STATES GOVERNMENT

TO : MR. L. V. BOARDMAN *ELW*

DATE: 3/2/55

FROM : E. H. WINTERROWD *ELW*

SUBJECT: ^①JOHN G. BROADY, with alias;
^①CHARLES GRIS; ^①CARL RUH; ^①WALTER C. ASMANN;
 WARREN B. SHANNON;
 UNAUTHORIZED PUBLICATION OR USE OF COMMUNICATIONS

Tolson _____
 Boardman _____
 Nichols _____
 Belmont _____
 Harbo _____
 Mohr _____
 Parsons _____
 Rosen _____
 Tamm _____
 Sizoo _____
 Winterrowd _____
 Tele. Room _____
 Holloman _____
 Gandy _____

With reference to Mr. Tolson's request for explanations as to why the copy of the letter to Mr. Nichols designated for Olney was not changed to substitute the new draft, the writer has no excuse for not seeing that this was done. I was so interested in determining that the letter was written in a more cordial tone and interested in proof-reading it that I neglected to check the copies designated for Olney. While there were a number of division representatives in the office on other matters, I did carefully review the original of the letter but did not check the copies. This was a case where I was too hasty.

I had instructed Mr. Leggett, Unit Chief in the Criminal Section, to have the letter rewritten in the absence of Supervisor Morgan who had prepared the original letter. Mr. Morgan had nothing to do with the redraft. Mr. Leggett, in turn, brought it back to me where I approved it. I feel that he was negligent as well as I. Accordingly I recommend that we both receive letters of censure.

With respect to Miss Schaeffer (Grade GS-5), she was instructed by Mr. Leggett to redo the letter to Mr. Nichols, a copy of which was designated for the New York Division which she changed properly. However, she was not specifically instructed by Mr. Leggett to change the copy going to Olney. Nevertheless, the Olney memorandum was clipped to go with the letter to Mr. Nichols of the Squibb Company and, accordingly, it is felt, in view of her position as Clerk-Stenographer, GS-5, having responsibilities in secretarial duties, she should have caught this and changed it. Therefore, she should be censured.

Attached are the memoranda of Mr. Leggett and Miss Schaeffer.

Attachments *7-252*

EHW:LS

(5)

71 APR 5 1955

3-30-55 (1.2)

RECORDED-11

134-149 27
10 MAR 23 1955
134-149

Assistant Attorney General
Warren Olney III

March 29, 1955

Director, FBI

JOHN G. BROADY, with alias; ET AL
UNAUTHORIZED PUBLICATION
OR USE OF COMMUNICATIONS

Reference is made to our memoranda dated February 28,
and March 3, 1955, concerning captioned matter.

An early reply to referenced memoranda will be
appreciated.

RECORDED - 106

24 MAR 30 1955

NOTE:

This is the big New York wire tap case uncovered
in which we conducted a preliminary investigation
and referred a copy of our report to the Criminal
Division requesting the Criminal Division to
advise us whether it desired any further investigation.

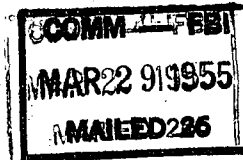
Tolson _____
Boardman _____
Nichols _____
Belmont _____
Harbo _____
Mohr _____
Parsons _____
Rosen _____
Tamm _____
 Sizoo _____
Winterrowd _____
Tele. Room _____
Holloman _____
Gandy _____

139-149

HJM:mrs

(5)

60 APR 1 1955



MARCH 28, 1955

AIRTEL

SAC, NEW YORK (139-10) MAIL

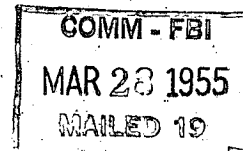
JOHN G. BROADY, WA.; ET AL; UFUC. REURAIRTEL 3-17-55.
BY RETURN AIRTEL ADVISE BUREAU RESULTS OF CONTACT WITH
BROADY.

HOOVER

(139-149)

HJM:mrs/gh

(4)



RECORDED - 106

6 MAR 30 1955

Tolson _____
Boardman _____
Nichols _____
Belmont _____
Harbo _____
Mohr _____
Parsons _____
Rosen _____
Tamm _____
Sizoo _____
Winterrowd _____
Tele. Room _____
Holloman _____
Gandy _____

139-149

FLP/AM

jen 376

60 APR 1 1955

FEDERAL BUREAU OF INVESTIGATION
U. S. DEPARTMENT OF JUSTICE
COMMUNICATIONS SECTION

MAR 28 1955

28 TELETYPE

8-30 P

.... U R G E N T ...

WASH 6 FROM NEW YORK

DIRECTOR

Mr. Tolson	_____
Mr. Boardman	_____
Mr. Nichols	_____
Mr. Belmont	_____
Mr. Harbo	_____
Mr. Mohr	_____
Mr. Parsons	_____
Mr. Rosen	_____
Mr. Tamm	_____
Mr. Sizoo	_____
Mr. Winterrowd	_____
Tele. Room	_____
Mr. Holloman	_____
Miss Gandy	_____

JOHN G. BROADY, WA, ET AL, UPUC. THIS OFFICE IS IN RECEIPT

OF A LETTER DATED MARCH TWENTYFIVE LAST FROM

END PAGE ONE...

Mr. Rosen

60 APR 12 1955

cc Mr. Rosen
139-149

3/30/55

PAGE TWO...

b7D

FILES OF NYO REFLECT

INFORMATION TELEPHONICALLY COMMUNICATED TO ASSISTANT DIRECTOR A. ROSEN AND RECOMMENDED THAT THIS INFORMATION BE GIVEN TO CHIEF INSPECTOR STEPHEN KENNEDY, NYCPD, ON A CONFIDENTIAL BASIS WITHOUT REVEALING SOURCE. ASST. DIR. ROSEN STATED WE SHOULD DO THIS AND THAT IN CONNECTION WITH

CHIEF KENNEDY HAS BEEN ADVISED IN THIS MATTER WITHOUT REVEALING OUR SOURCE,

AT FOUR TEN P. M. THIS DATE, WELLINGTON POWELL, VP, NY TELEPHONE CO., ADVISED THAT EUGENE SULLIVAN, TELCO CO. TESTER, WHO HAS BEEN PREVIOUSLY CONTACTED BY BROADY, RECEIVED A PHONE CALL FROM BROADY NIGHT OF MARCH TWENTYSIX LAST AT WHICH TIME BROADY ADVISED SULLIVAN THAT FBI HAD RAIDED HIS OFFICE AND SEIZED MATERIAL AND BROADY BELIEVED SULLIVAN-S NAME MIGHT HAVE BEEN CONTAINED IN THIS MATERIAL. BROADY URGED SULLIVAN, IN EVENT HE WAS CONTACTED BY FBI, TO TELL ONLY TRUTH. UACB, ARRANGEMENTS WILL BE MADE TO INTERVIEW SULLIVAN TO OBTAIN COMPLETE FACTS RE CALL.

KELLY

PLS HOLD

AIR-TEL
FEDERAL BUREAU OF INVESTIGATION
UNITED STATES DEPARTMENT OF JUSTICE

FD-36

NY, NY, 4/4/55

Transmit the following Teletype message to: BUREAU

JOHN G. BROADY, WA; ET AL; UPUC. RENYTEL 3/28/55. CONTINUED

EFFORTS TO LOCATE BROADY FOR INTERVIEW HAVE BEEN UNSUCCESSFUL.

EFFORTS CONTINUING TO INTERVIEW HIM, AND IMMEDIATELY UPON INTERVIEW
THE BUREAU WILL BE ADVISED.

KELLY

3 - BUREAU (139-149)

Mr. Rosen

RECORDED

139-149-31
29 APR 5 1955

TFM:ETM
139-10 (#1-G)

66 APR 14 1955

Approved

Special Agent in Charge

Sent M Per

FEDERAL BUREAU OF INVESTIGATION
U. S. DEPARTMENT OF JUSTICE
COMMUNICATIONS SECTION

APR 11 1955

TELETYPE

G. I. R. -7

Mr. Tolson	_____
Mr. Boardman	_____
Mr. Nichols	_____
Mr. Belmont	_____
Mr. Harbo	_____
Mr. Mohr	_____
Mr. Parsons	_____
Mr. Rosen	_____
Mr. Tamm	_____
Mr. Sizoo	_____
Mr. Winterrowd	_____
Tele. Room	_____
Mr. Holloman	_____
Miss Gandy	_____

WASH 16 FROM NEW YORK 11 8-46 P

DIRECTOR URGENT

UNAUTHORIZED PUBLICATION OR USE OF COMMUNICATIONS
JOHN G. BROADY, WAS, ET AL, UPUC. RE PHONE CALL FROM NY TO BUREAU,
APRIL TEN FIFTYFIVE CONCERNING STORY APPEARING IN SUNDAY "NEWS"
ENTITLED "DA GRABS PRIVATE EYES TAP FILES" WHICH WAS STORY CONCERNING
ALLEGED SEARCH WARRANT USED IN OBTAINING MATERIAL FROM OFFICE OF
SUBJ. CHIEF INSPECTOR STEPHEN KENNEDY, NYCPD, ADVISED THIS DATE
THAT HE HAD RECIEVED NO INFORMATION FROM DA-S OFFICE CONCERNING
RESULT OF THIS SEARCH OF BROADY-S OFFICE. HE STATES THAT IF MATTER
WAS HANDLED BY DA-S OFFICE IT WOULD NOT BE NECESSARY FOR DA TO
NOTIFY HIM OF RESULTS. STATED, HOWEVER, THAT CHIEF OF DETECTIVES
TOM NIELSON MIGHT HAVE SOME INFORMATION CONCERNING THIS MATTER BUT
THAT NIELSON WAS OUT OF TOWN FOR A COUPLE OF DAYS. KENNEDY WILL TALK
TO NIELSON ON LATTER-S RETURN AND IF ANY INFORMATION IS OBTAINED
WILL ADVISE THIS OFFICE AND BUREAU IN TURN WILL BE ADVISED.

RECORDED - 118

27 APR 13 1955

KELLY

HOLD

Mr. Rosen

66 APR 21 1955

cc Rosen, Jap

Office Memorandum • UNITED STATES GOVERNMENT

TO : Mr. Rosen

DATE: April 5, 1955

FROM : F. L. Price

SUBJECT: ROBERT LA BORDE; KEN RYAN;
JOHN G. BROADY; WILLIAM MELLON;
UNAUTHORIZED PUBLICATION
OR USE OF COMMUNICATIONS

Call: 11:12 a.m.

Tolson
Boardman
Belmont
Clegg
Glavin
Ladd
Nichols
Rosen
Tracy
Harbo
Mohr
Parsons
Quinn
Tamm
Trotter
Tele. Room
Holloman
Gandy

ASAC A. J. Marchessault called from New York to make a recommendation with reference to the instituting of physical surveillances on Robert LaBorde, Ken Ryan, James Millen (believed by New York to be William Mellon), and John Broady, who have been mentioned as having engaged in wire tapping in the New York area.

Marchessault furnished the following brief information on these four individuals:

- (1) Robert LaBorde - former employee of the New York Telephone Company and described as a known wire tapper who has worked for Bernard B. Spindel. LaBorde is a licensed detective and now runs his own agency.

b7D

- (2) Ken Ryan - former New York City Detective, approximately 50 years of age. He has been described as being an active wire tapper during the William O'Dwyer days. According to [redacted] and Special Agent

b7D

Jack Danahy of the New York Office, who knows the Ryan family through his father-in-law, Ryan is not active as a wire tapper at the present time.

- (3) John G. Broady - involved as one of the subjects in the wire-tapping case now being handled by Frank Hogan's office. He has been widely publicized as a wire tapper. The Bureau is presently endeavoring to locate and interview Broady because of the statement that he has made that he would not give any information to the FBI because there are Communists in the Bureau and, further, with reference to his allegation that FBI Agents raided his office and seized material. Marchessault expressed the opinion of the New York Office that Broady would be a difficult individual to surveil.
- (4) James Millen. Marchessault stated that the New York Office is unable to identify James Millen; however, one William Mellon is known to the New York Office as a former U. S. Treasury

APR 27 1955

EX-115

Memorandum for Mr. Rosca

Agent who has now retired from Government service and reportedly lives on a chicken farm at Arlington, New York. He is some 60 years of age. He is believed to be the author of an article which appeared in "Collier's" or the "Saturday Evening Post" during 1948 or 1949 under the title of "I Tapped a Million Wires." He is said to have a son who is now in the New York Police Department.

Marchessault advised that the New York Office has learned through available sources that District Attorney Frank Hogan has ordered a physical surveillance on Bernard Spindol.

Mr. Marchessault stated that on approximately February 22, 1955, Richard C. Rutherford volunteered to give information to the New York Office in connection with the Broady investigation in New York, which at that time was being entirely handled by District Attorney Hogan's office, and he was referred to the New York State authorities. Mr. Marchessault suggested that the Bureau may wish to authorize an interview with Rutherford at this time since he has admitted that he has worked for Spindol as a wire tapper.

Marchessault stated that the New York Office wished to make the following recommendations for the Bureau's consideration:

- (1) A full-time, 24-hour surveillance on the above-listed individuals is not believed practical at this time.
- (2) The New York Office recommends that they be authorized to secretly institute investigation into the background of LaBordo, Ryan, Molloy, and Broady in order to ascertain their present activities.
- (3) The New York Office recommends they be authorized to institute spot surveillances of these individuals on a good-judgment basis at the discretion of the New York Office where such technique will assist in developing the present endeavors of these individuals.

Marchessault stated that at the present time they do not know the whereabouts of any of these four persons, but he believes they could be located on the basis of the information already known to the New York Office.

Memorandum for Mr. Rosen

ACTION TAKEN:

After discussing this matter with you, Special Agent Jack Danahy was telephonically contacted at New York and authorized to (1) institute immediate discreet investigation on Robert LaBardo, Ron Ryan, William Hollen, John Broady, and Richard C. Rutherford; (2) conduct discreet spot physical surveillances on a good-judgment basis at the discretion of the New York Office to assist in ascertaining the present activities of these individuals. He was instructed that Richard C. Rutherford should not be interviewed at this time pending the obtaining of more background information on him and in view of the fact that Rutherford is a close associate of Spindol's and there is a strong possibility that he may be subpoenaed, or act as a witness before the Celler Committee.

Rosen
JBR

grw
GK
H

✓

Office Memorandum • UNITED STATES GOVERNMENT

TO : Mr. Rosen

DATE: April 10, 1955

FROM : Mr. Price

Time of call: 11:00 a/m
4/10/55SUBJECT: JOHN G. BROADY, with aliases
UNAUTHORIZED PUBLICATION OR USE
OF COMMUNICATIONS

Tolson	✓
Boardman	✓
Nichols	✓
Belmont	✓
Harbo	✓
Mohr	✓
Parsons	✓
Rosen	✓
Tamm	✓
Sizoo	✓
Winterrowd	✓
Tele. Room	✓
Holloman	✓
Gandy	✓

G.I.R.-7

pf 2-1

SA Supervisor Arbor Garver, New York Office, advised the Bureau that the "Sunday News" carried an article on page two entitled "DA Grabs Private Eye's Tap Files." This article points out that the files of John G. (Steve) Broady have been seized by the district attorney's office in raids on Broady's office located at 19 Rector Street, New York City. The article further points out that though the court-tolerated raids were made some ten days ago, the district attorney's office remained mum on the whole operation and persisted a "no comment" on the investigation.

The article editorialized that presumably, though, the action indicated an all-out probe is being made into the electronics sleuthing of Broady, a private detective, who has been in and out of the news ever since the City Hall wiretap plot of the 1949 O'Dwyer administration. The article also pointed out that the district attorney may question some of Broady's clients. Broady is alleged to have protested in vain that his files represented the lawyer-client relationship which is supposedly protected from investigation by public officials. However, the district attorney's men had represented to the court that their interest was confined to Broady's work as a detective and not as a lawyer. The article pointed out that Broady was unavailable for comment.

Garver advised that SA Supervisor Tom Spencer, New York Office, was attempting to contact Inspector Stephen Kennedy, New York City Police Department, to determine if the news article was true and if true, what records were obtained and if there was any information indicating a Federal violation.

ACTION TAKEN:

Garver was instructed to keep the Bureau promptly advised of the developments in this matter.

RJP:jrr
(6)

66 APR 21 1955

RECORDED - 75

21 APR 14 1955

SUNDAY NEWS

NEW YORK'S PICTURE NEWSPAPER®

New York 17, N.Y., Sunday, April 10, 1955*

Mr. Tolson _____
 Mr. Boardman _____
 Mr. Nichols _____
 Mr. Belmont _____
 Mr. Harbo _____
 Mr. Mohr _____
 Mr. Parsons _____
 Mr. Rosen _____
 Mr. Tamm _____
 Mr. Sizoo _____
 Mr. Winterrowd _____
 Tele. Room _____
 Mr. Holloman _____
 Miss Gandy _____

DA Grabs Private Eye's Tap Files

By HENRY LEE

Some of the choicest pages in the bulging wiretap files of private eye John G. (Steve) Broady have been seized by the district attorney's office in raids on Broady's office at 19 Rector St. it was disclosed yesterday.

Though the court-tolerated raids were made some ten days ago, the district attorney's office remained mum on the whole operation and persisted yesterday in a "no comment" on the investigation.

All-Out Probe Seen

Presumably, though, the action indicated an all-out probe into the electronics sleuthing of the private detective who has been in and out of the news ever since the great City Hall wiretap plot of 1949 in the O'Dwyer administration.

Broady's clients, it is known, have ranged from John Jacob Astor to the Chinese Nationalist government. Reliable sources said that among the several auto loads of confiscated data were some 60 pages relating to Astor's marital troubles with Gertrude Gretsch Astor.

May Quiz Clients

There were reports that some of Broady's clients would be questioned by the DA's staff as to what services the private eye performed for them. The detective, it was said, protested in vain that his files represented the lawyer-client relationship which is supposedly pro-



John G. (Steve) Broady
Protests against raid.

tected from investigation by public officials.

However, the DA's men had represented to the court that their interest was confined to Broady's

work as a detective, not as a lawyer.

Broady was unavailable for comment.

Wash. Post and
Times Herald _____

Wash. News _____

Wash. Star _____

N. Y. Herald Tribune _____

N. Y. Mirror _____

Date: _____

100-10000-33

FEDERAL BUREAU OF INVESTIGATION
UNITED STATES DEPARTMENT OF JUSTICE

- AIR TEL -
NY, 4/13/55

Transmit the following Teletype message to: BUREAU

JOHN G. BROADY, WA, ET AL, UPUC. RENYTEL, 3/28/55.

FD-36

Mr. Tolson	_____
Mr. Boardman	_____
Mr. Nichols	_____
Mr. Belmont	_____
Mr. Harbo	_____
Mr. Mohr	_____
Mr. Parsons	_____
Mr. Rosen	_____
Mr. Tamm	_____
Mr. Sizoo	_____
Mr. Winterrowd	_____
Tele. Room	_____
Mr. Holloman	_____
Miss Gandy	_____

KELLY

3-BUREAU (RM)

TFM:APF (1-G)
139-10

Mr. Rosen

RECORDED-53

EX-112

APR 14 1955

Approved

Special Agent in Charge

Sent

M Per

64 APR 19 1955

AIRTEL
FEDERAL BUREAU OF INVESTIGATION
UNITED STATES DEPARTMENT OF JUSTICE

FD-36	Mr. Tolson	_____
	Mr. Boardman	_____
	Mr. Nichols	_____
	Mr. Belmont	_____
	Mr. Harbo	_____
	Mr. Mohr	_____
	Mr. Winterrowd	_____
	Tele. Room	_____
	Mr. Holloman	_____
	Miss Gandy	_____

b7D

NEW YORK, N. Y.; 4/19/55

Transmit the following Teletype message to: BUREAU

JOHN G. BROADY, WA, ET AL, UPUC. REMYTEL 3/28/55.

KELLY

3 - BUREAU (REGULAR)

WPC:PAM (#1-G)
139-10

Mr. Rosen

RECORDED - 103

10 APR 20 1955

SIX

Approved

DK

Special Agent in Charge

Sent

M

Per

Mr. Tolson	
Mr. Boardman	
Mr. Nichols	
Mr. Belmont	
Mr. Mohr	
Mr. DeLoach	
Mr. Casper	
Mr. Callahan	
Mr. Conrad	
Mr. Felt	
Mr. Gale	
Mr. Rosen	
Mr. Sullivan	
Mr. Tavel	
Mr. Trotter	
Tele. Room	
Mr. Holloman	
Miss Gandy	

FEDERAL BUREAU OF INVESTIGATION
UNITED STATES DEPARTMENT OF JUSTICE

AIRTEL

3/30/55, NY

Transmit the following Teletype message to: BUREAU

JOHN G. BROADY, WA; ET AL; UPUC. RENYAIRTEL, 3/17/55. EUGENE T. SULLIVAN, TESTER FOR THE NEW YORK TELEPHONE COMPANY, ADVISED THIS DATE THAT AN INDIVIDUAL WHO IDENTIFIED HIMSELF AS BROADY CONTACTED HIM BY TELEPHONE SOMETIME BETWEEN 9:45 P.M. AND 10:15 P.M. ON 3/26/55. SULLIVAN BELIEVED BROADY PHONED FROM A PUBLIC PHONE BOOTH INASMUCH AS A TELEPHONE OPERATOR INTERRUPTED THEIR CONVERSATION AND REQUESTED THE CALLER TO DEPOSIT ANOTHER COIN. SULLIVAN SAID BROADY TOLD HIM THAT THE FBI HAD SEARCHED HIS OFFICE ON THE BASIS OF A SEARCH WARRANT. SULLIVAN BELIEVED BROADY INDICATED THAT HIS OFFICE WAS SEARCHED ON 3/25/55. BROADY TOLD SULLIVAN THE FBI SEARCHED HIS PERSONAL PAPERS AND INCLUDED AMONG THEM WAS SULLIVAN'S NAME. BROADY EXPLAINED THAT THE REASON HE WAS CALLING SULLIVAN WAS TO WARN HIM THE FBI MIGHT INTERVIEW HIM SINCE HIS NAME WAS AMONG BROADY'S PERSONAL PAPERS. BROADY ADVISED SULLIVAN TO TELL THE TRUTH TO THE FBI IF HE WAS INTERVIEWED AND EXPLAIN TO THE FBI THAT HE, BROADY, REQUESTED SULLIVAN TO CHECK HIS TELEPHONE TO SEE IF IT WAS TAPPED AND FURTHER TO TELL THE FBI THAT HE, SULLIVAN, REFUSED TO CHECK BROADY'S PHONE ON THE GROUNDS THAT IT WAS UNETHICAL. BROADY ALSO TOLD SULLIVAN TO ADVISE THE FBI THAT HE,

③ - BUREAU (139-149) (REGULAR)

TFM:AMH (#1-G)

139-10

Approved

Special Agent in Charge

RECORDED - 106

Sent

M Per

Mr. Rosen

139-149

139-149

139-149-36

FEDERAL BUREAU OF INVESTIGATION
UNITED STATES DEPARTMENT OF JUSTICE

- - - - -

Transmit the following Teletype message to:

PAGE TWO

SULLIVAN, REFERRED BROADY TO THE REPAIR SERVICE BUREAU OF THE TELEPHONE COMPANY IF HE DESIRED TO HAVE HIS TELEPHONE CHECKED. SULLIVAN STATED BROADY DID NOT REPEAT HIS REQUEST TO HAVE SULLIVAN CHECK HIS PHONE WHEN HE CALLED HIM ON 3/26/55. BROADY IN A CASUAL MANNER TOLD SULLIVAN HE WOULD PASS ON SULLIVAN'S REGARDS TO JOHN SCHWARTZ (PH). FOR INFO OF BUREAU, NEW YORK AIRTEL, 3/11/55, SETS FORTH INFO REFLECTING THAT SULLIVAN WAS RECOMMENDED TO BROADY BY JOHN SCHWARTZ (PH) OF GENERAL ELECTRIC, SCHENECTADY, NEW YORK. RENYAIRTEL REFLECTS THAT BROADY ADVISED THE NYO THAT HE WOULD CONTACT THE NYO AND ADVISE WHETHER HE WOULD BE AVAILABLE FOR INTERVIEW. BROADY HAS NOT CONTACTED THE NYO TO DATE AND HE WILL NOT BE CONTACTED UNTIL DIRECTIONS ARE RECEIVED FROM THE BUREAU REGARDING THE INFORMATION SET FORTH IN THIS AIRTEL.

KELLY

Approved _____ Sent _____ M Per _____
Special Agent in Charge

CC: MR. ROSEN
AND SUPERVISOR *Mr. Rosen*
INVESTIGATIVE DIVISION

Mr. Tolson	
Mr. Boardman	
Mr. Nichols	
Mr. Belmont	
Mr. Mohr	
Mr. DeLoach	
Mr. Casper	
Mr. Callahan	
Mr. Conrad	
Mr. Felt	
Mr. Gale	
Mr. Rosen	
Mr. Sullivan	
Mr. Tavel	
Mr. Trotter	
Tele. Room	
Mr. Holloman	
Miss Gandy	

FEDERAL BUREAU OF INVESTIGATION

UNITED STATES DEPARTMENT OF JUSTICE

AIR-TEL - -
 NEW YORK 4/20/55

Transmit the following Teletype message to: BUREAU

JOHN G. BROADY, WAS, ET AL; UPUC. RENYTEL 4/11/55. CHIEF
 INSPECTOR STEPHEN KENNEDY, NYCPD, ADVISED THAT CHIEF OF
 DETECTIVES TOM NIELSON, NYCPD TOLD HIM THE NY COUNTY
 DISTRICT ATTORNEY'S OFFICE OBTAINED A SEARCH WARRANT AND
 SEARCHED THE SUBJECT'S OFFICE ON 3/24/55. KENNEDY SAID THE
 DA'S OFFICE IS COGNIZANT OF THE FACT THE SUBJECT IS A
 LAWYER AND NO MATERIAL WAS TAKEN FROM BROADY'S OFFICE WHICH
 WAS OF A LAWYER-CLIENT NATURE SO AS NOT TO INVALIDATE A
 POSSIBLE FUTURE INDICTMENT OF THE SUBJECT.

KELLY *Mc*

3 - BUREAU (REGULAR MAIL)

Mr. Rosen

RECORDED-42

EX-116

139-149-37
 12 APR 21 1955

139-10 (#1-G)
 TFMCS:BBA

Approved *JK*

Special Agent in Charge

Sent

M Per

6 APR 27 1955

APRIL 21, 1955

AIRTEL

SAC, NEW YORK (MAIL) (139-10)

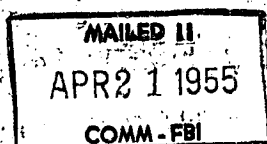
RECORDED-73 139-149-38
JOHN G. BROADY, WA., ET AL., UPUC. RE BUREAU TELEPHONE
CALLS TO ASAC MARCHESSAULT, 3/31/55, AND TO SA JACK DANAHY,
4/5/55, RE INTERVIEW WITH BROADY AND DISCREET INVESTIGATION
OF LA BORDE, RYAN, MELLON, BROADY, AND RUTHERFORD. BY
RETURN AIRTEL ADVISE BUREAU WHETHER BROADY WAS INTERVIEWED.
IF NOT, ADVISE BUREAU WHETHER YOU FEEL IT IS FEASIBLE TO
INTERVIEW HIM AT THIS TIME CONSIDERING AT THE SAME TIME
WHETHER IT WILL AID YOU IN YOUR INVESTIGATION PURSUANT TO
BUREAU PHONE CALL 4/5/55 OR WHETHER AN INTERVIEW WITH
BROADY WILL JEOPARDIZE YOUR INVESTIGATION.

HOOVER

139-149

HJM:pwm/mam *mam*
(4)

Tolson _____
Boardman _____
Nichols _____
Belmont _____
Harbo _____
Mohr _____
Parsons _____
Rosen _____
Tamm _____
 Sizoo _____
Winterrowd _____
Tele. Room _____
Holloman _____
Gandy _____



3 MAY 6 1955

139-5718

fjm
3
15m

Office Memorandum • UNITED STATES GOVERNMENT

TO : Mr. Rosen *pm*DATE: March 30, 1955 *10:00*FROM : Mr. Price *882*SUBJECT: JOHN G. BROADY, WA., ET AL.
UNAUTHORIZED PUBLICATION OR USE
OF COMMUNICATIONS

DeLoach
Tolson ☒
Boardman ☒
Nichols ☒
Belmont ☒
Harbo ☒
Mohr ☒
Parsons ☒
Rosen ☒
Tamm ☒
 Sizoo ☒
Winterrowd ☒
Tele. Room ☒
Holloman ☒
Gandy ☒

y
Casper
6 H. Morgenthau

By teletype 3/28/55 our New York office advised that it
received [REDACTED]

b7D

The files of the New York office reflect [REDACTED]

b7D

Pursuant to Bureau instructions, Chief Inspector Stephen Kennedy of the New York City Police Department was advised in a confidential manner of this information without revealing our source, and [REDACTED]

b7D

RECORDED - 73

cc: 1 - Training and Inspection Division
1 - Administrative Division

HJM:ecb

INDEXED - 73

(8)

1 Copy sent
5-4-55 (137)

PERS. FIL

Memorandum to Mr. Rosen

At 4:10 pm., 3/28/55, Wellington Powell, Vice President, New York Telephone Company, advised that Eugene Sullivan, telephone company tester, who had been previously contacted by Broady, received a phone call from Broady on the night of 3/26/55, at which time Broady advised Sullivan that the FBI had raided his office and seized material and further stated Broady believed Sullivan's name might have been contained in this material. Broady urged Sullivan, in the event that he was contacted by the FBI, that he should tell only the truth.

New York stated that unless advised to the contrary by the Bureau, arrangements would be made to interview Sullivan to obtain complete facts regarding the call.

RECOMMENDATIONS:

1. It is recommended that if approved, New York be telephonically instructed to interview Broady concerning his alleged statement that the FBI raided his office and seized material.

yes.
OK.

see memo dated 3/28/55 4-5-55
6 26 PM
ASAC Manhattan
MC advised
3/31/55
JTB

2. Since New York stated that Sullivan would be interviewed unless advised to the contrary by the Bureau, no further need exists for action to be taken here except to instruct New York to expedite this interview.

yes.
OK

see my airtel
3/30/55
JTB

3. All pertinent developments concerning this matter will be furnished to you.

R
JTB
OK

JTB
OK

V

OK

FEDERAL BUREAU OF INVESTIGATION
U. S. DEPARTMENT OF JUSTICE
COMMUNICATIONS SECTION

APR 22 1955

TELETYPE R-7

Mr. Tolson	
Mr. Boardman	
Mr. Nichols	
Mr. Belmont	
Mr. Harbo	
Mr. Mohr	
Mr. Winterrowd	
Tele. Room	
Mr. Holloman	
Miss Gandy	

6-17-55

WASHINGTON FROM NEW YORK 11

22

DIRECTOR

....DEFERRED....

139-149-35-2-1
JOHN G. BROADY, WA, ET AL, UPUC, RENY AIRTEL APRIL NINETEEN,

FIFTY FIVE.

END PAGE ONE

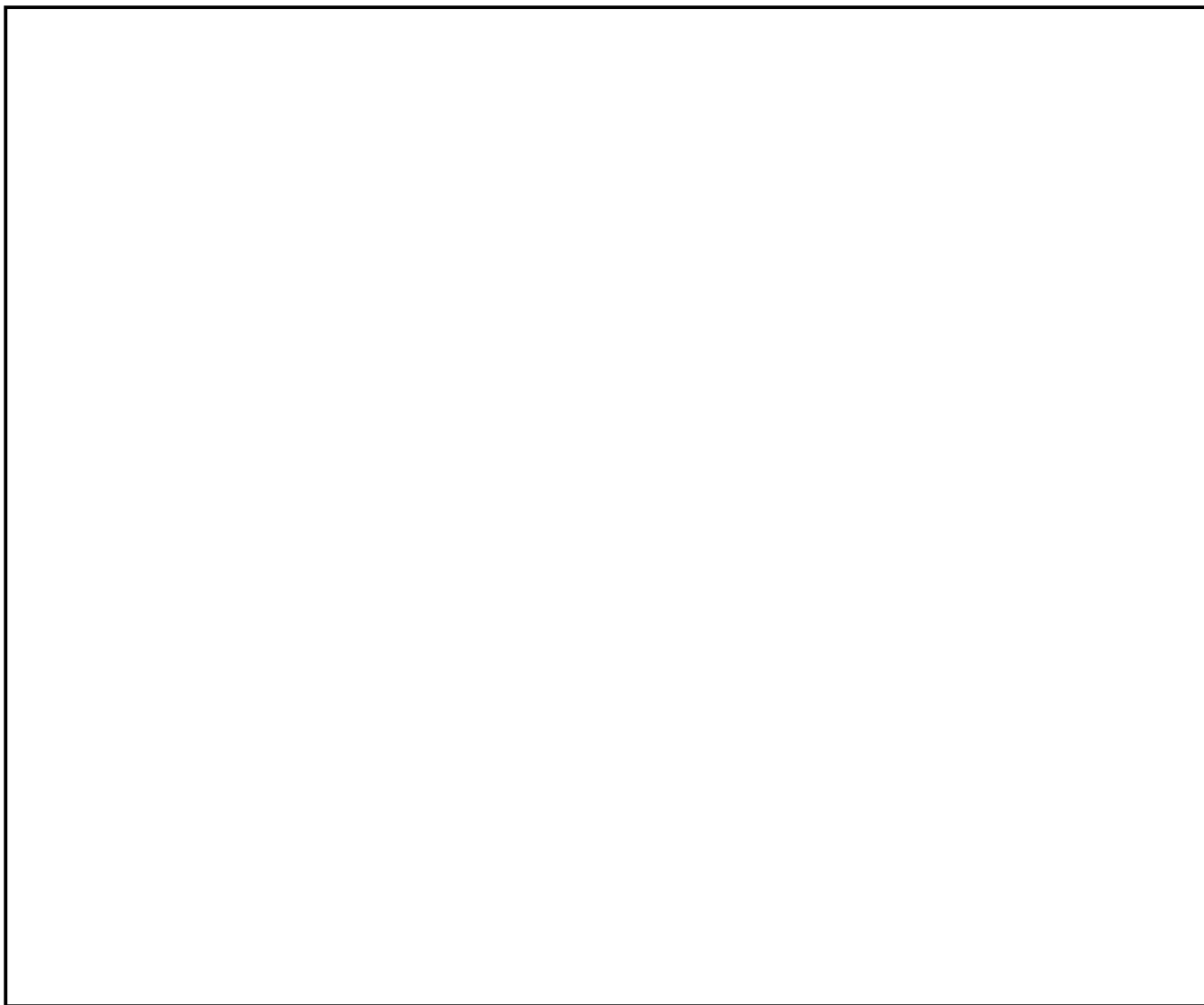
RECORDED - 77

139-177
16 APR 27 1955 49

Mr. Rosen

MAY 2 1955

PAGE TWO



b7D

END PAGE TWO

PAGE THREE

b7D

[REDACTED]

[REDACTED] NYO WILL REMAIN IN CONTACT WITH [REDACTED]

AND BUREAU WILL BE ADVISED OF DEVELOPMENTS.

KELLY

HOLD

FEDERAL BUREAU OF INVESTIGATION
UNITED STATES DEPARTMENT OF JUSTICE
AIR TEL
4/22/55 -
NY, NY

Mr. Tolson	_____
Mr. Boardman	_____
Mr. Nichols	_____
Mr. Belmont	_____
Mr. Harbo	_____
Mr. Mohr	_____
Mr. Parsons	_____
Mr. Rosen	_____
Mr. Tamm	_____
Mr. Sizoo	_____
Mr. Winterrowd	_____
Tele. Room	_____
Mr. Holloman	_____
Miss Gandy	_____

Transmit the following Teletype message to: BUREAU

JOHN G. BROADY, WA, ET AL; UPUC. REBUAIRTEL, 4/21/51. DESPITE
NUMEROUS ATTEMPTS TO INTERVIEW HIM BROADY HAS NOT BEEN INTERVIEWED
TO DATE. THE NYO FEELS THAT IT SHOULD CONTINUE EFFORTS TO
INTERVIEW BROADY AND IT IS NOT FELT THAT IT WILL JEOPARDIZE
THE INVESTIGATION OF HIM. IT IS POINTED OUT THAT IF AN
INTERVIEW WITH BROADY IS ACCOMPLISHED IT MAY, WITHOUT AROUSING
HIS SUSPICIONS, DEVELOP INFORMATION BENEFICIAL TO THE
INVESTIGATION.

KELLY

③ BUREAU (139-149) (REGULAR)

Mr. Rosen

TFMcS:AJC (#1-G)
NY 139-10

RECORDED - 93

10 APR 25 1955

SIX

67 MAY 5 1955

Approved

JJX reh

Special Agent in Charge

Sent

M

Per

APRIL 27, 1955 AIRTEL (MAIL)

RECORDED - 14 39-149-41 SAC, NEW YORK (139-10)

JOHN G. BROADY, ET AL; UPUC. ENCLOSED IS A COPY OF AAG OLNEY'S MEMORANDUM 4/22/55 WHICH IS SELF-EXPLANATORY. AS POINTED OUT IN THE ENCLOSED MEMORANDUM, OLNEY DESIRES NO FURTHER INVESTIGATION RE THIS CASE. HOWEVER, HE DESIRED TO BE ADVISED OF SIGNIFICANT DEVELOPMENTS IN REGARD TO THE HANDLING OF THIS CASE BY THE OFFICE OF THE NY COUNTY DA. YOU ARE INSTRUCTED TO CLOSELY FOLLOW UP THIS MATTER AND REPORT SUCH DEVELOPMENTS TO THE BUREAU IN ADDITION TO REPORTING THE FINAL OUTCOME OF THE CASE IN STATE COURT. WITH REGARD TO BROADY, YOU SHOULD MAKE EVERY EFFORT TO INTERVIEW ~~PER~~ PREVIOUS BUREAU INSTRUCTIONS AND PROMPTLY REPORT RESULTS OF INTERVIEW. YOU SHOULD ALSO CONTINUE YOUR DISCREET INVESTIGATION CONCERNING BROADY, LA BORDE, RYAN, MELLON, AND RUTHERFORD, PURSUANT TO BUREAU TELEPHONE CALL TO SA JOHN DANAHY 4/5/55.

HOOVER

Enclosure
139-149

HJM:csn
(4)

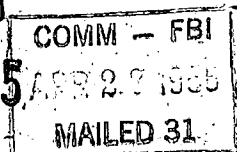
NOTE: The case referred to by Olney in the attached memorandum relates to the NY wire tapping setup being prosecuted by NY District Attorney Hogan wherein we conducted a preliminary investigation and sent a report to Olney.

Broady is alleged to have said the FBI is full of Communists and also that we raided his office. We instructed NY to interview him re these allegations. NY has attempted numerous times to interview Broady and he has evaded the interview.

On 4/5/55, we instructed NY to conduct a discreet investigation on Robert La Borde, Ken Ryan, William Mellon, John G. Broady, and Richard C. Rutherford who are reported to be top men in the wire tapping field. The Director approved.

Tolson _____
Boardman _____
Nichols _____
Belmont _____
Harbo _____
Mohr _____
Parsons _____
Rosen _____
Tamm _____
 Sizoo _____
Winterrowd _____
Tele. Room _____
Holloman _____
Gandy _____

71 MAY 5 1955



5718

Paul

JPW

2P

X

Office Memorandum • UNITED STATES GOVERNMENT

Mr. Boardman	_____
Mr. Nichols	_____
Mr. Belmont	_____
Mr. Harbo	_____
Mr. Mohr	_____
Mr. Parsons	_____
Mr. Rosen	_____
Mr. Tamm	_____
Mr. Sizoo	_____
Mr. Winterrowd	_____
Tele. Room	_____
Mr. Holloman	_____
Miss Gandy	_____

TO : Director, Federal Bureau of Investigation

DATE

FROM : Warren Olney III, Assistant Attorney General
Criminal Division

SUBJECT:

JOHN G. BROADY, with alias
John Steve Broady; CHARLES GRIS;
CARL RUH; WALTER C. ASMANN;
WARREN B. SHANNON;
UNAUTHORIZED PUBLICATION
OR USE OF COMMUNICATIONS

Reference is made to your memorandum of February 28, 1955, with which you transmitted to us a copy of a report made by Special Agent John J. Danahy made at New York, New York, dated February 21, 1955, and in which you requested to be advised whether any further investigation by the Bureau is desired in connection with this case.

Reference is also made to your memorandum to us dated February 23, 1955, concerning a conference on February 21, 1955, in which representatives of the Bureau and a member of my staff discussed this matter. As indicated in your memorandum, no further investigation by the Bureau is desired by us at this time. However, we would like to be advised of significant developments in regard to the handling of this matter by the Office of the New York County District Attorney.

RECORDED

27 APR 29 1955

APR 25 1955

Airtel NY
4-26-55
HJM/mms

Rac. R. H.
Morgan
SL27

May 6, 1955

AIRTEL

SAC, New York

G. I. Ruff

JOHN G. BROADY, WA., ET AL.; UPUC.

2-1

Reurairtel 4-22-55 concerning captioned matter.

McH
You are instructed to advise the Bureau with regard to the efforts you have made to interview Broady with regard to the statements which are alleged to have been attributed to him that the FBI is full of Communists and that the FBI raided his office.

If Broady has not been interviewed, every effort must be made to interview him to resolve these allegations.

Hoover

HJM:tr

(4)

NOTE: Broady was alleged to have made the statements that the FBI was full of Communists and that the FBI had raided his office. New York was instructed to interview Broady; however, New York has stated that it has attempted to interview him on numerous occasions but in view of Broady's evasiveness, it has not been able to accomplish this. By airtel 5-2-55 New York advised that Broady was indicted on 5-2-55 for violating the New York State Penal Code relating to wire tapping.

139-141-42
RECORDED-41

EX - 103

MAY 9 1955

Tolson _____
Boardman _____
Nichols _____
Belmont _____
Harbo _____
Mohr _____
Parsons _____
Rosen _____
Tamm _____
 Sizoo _____
Winterrowd _____
Tele. Room _____
Holloman _____
Gandy _____

MAILED 8
MAY 12 1955
COMM - FBI

May 9, 1955

- 147-43

JOHN G. BROADY, with alias, et al.;
UNAUTHORIZED PUBLICATION OR USE
OF COMMUNICATIONS

Reference is made to your memorandum dated April 22, 1955, your file 82-51-35 (WO:JWB:alj), concerning captioned matter.

You advised in referenced memorandum that no further investigation by this Bureau was desired. You requested to be advised of significant developments in regard to the handling of this matter by the office of the New York County District Attorney.

Our New York Office has advised that Chief Inspector Stephen Kennedy of the New York City Police Department advised that John G. Broady was indicted on May 2, 1955, for violating the New York State Penal Code relating to wire tapping.

The above is for your information.

HJM: tr
(4)

九

Tolson _____
Boardman _____
Nichols _____
Belmont _____
Harbo _____
Mohr _____
Parsons _____
Rosen _____
Tamm _____
Sizoo _____
Winterrowd _____
Tele. Room _____
Holloman _____
Gandy _____

COMM - FBI
MAY 9 1955
MAILED 26

MAY 12 1955

FEDERAL BUREAU OF INVESTIGATION

UNITED STATES DEPARTMENT OF JUSTICE
AIR TEL

- 572755 -
N.Y., NY

Mr. Tolson	_____
Mr. Boardman	_____
Mr. Nichols	_____
Mr. Belmont	_____
Mr. Harbo	_____
Mr. Mohr	_____
Mr. Parsons	_____
Mr. Rosen	_____
Mr. Tamm	_____
Mr. Sizoo	_____
Mr. Winterrowd	_____
Tele. Room	_____
Mr. Holloman	_____
Miss Gandy	_____

Transmit the following Teletype message to: BUREAU
JOHN G. BROADY, ET AL; UPUC. REBUAIRTEL, 4/27/55. CHIEF
INSPECTOR STEPHEN KENNEDY, NYCPD, ADVISED THAT BROADY WAS
INDICTED TODAY FOR VIOLATION OF THE NY STATE PENAL CODE
RELATED TO WIRE TAPPING.

KELLY

WPC

3 - BUREAU (139-149) (RM)

TFM:HAF (#1-S)
(139-10)

Mr. Rosen

RECORDED-27

EX-103

139-149-43

MAY 3 1955

memo to O. L. Gray
5-9-55
HJM:tr

Approved SK rch Sent _____ M. Per _____
Special Agent in Charge

FEDERAL BUREAU OF INVESTIGATION
UNITED STATES DEPARTMENT OF JUSTICE
AIR TEL
- 5/11/55 -
N.Y., NY

FD-36

Mr. Tolson	_____
Mr. Boardman	_____
Mr. Nichols	_____
Mr. Belmont	_____
Mr. Harbo	_____
Mr. Mohr	_____
Mr. Parsons	_____
Mr. Rosen	_____
Mr. Tamm	_____
Mr. Sizoo	_____
Mr. Winterrowd	_____
Tele. Room	_____
Mr. Holloman	_____
Miss Gandy	_____

Transmit the following Teletype message to: BUREAU
JOHN G. BROADY, wa, ET AL; UPUC.

ReBuairtel 5/6/55, requesting the NYO to advise the Bureau of the efforts made to interview BROADY. The NYO has made numerous phone calls to both BROADY'S office and residence in an attempt to arrange an interview. BROADY has undoubtedly instructed persons answering his phones to avoid divulging his whereabouts inasmuch as the inevitable answer to the calls made by the NYO is, "Mr. BROADY is out, he will call back later."

On one occasion, the NYO was successful in getting through to BROADY and at that time, he said he did not desire to be interviewed by the NYO and that he would call back later. This information is set out in NYairtel, 3/17/55. BROADY, however, never returned the call. The NYO has also attempted to locate BROADY outside both his office and residence. These attempts, likewise, have not been successful.

NYairtel, 4/22/55, reflects that the NYO felt that it should continue efforts to interview BROADY. It has become apparent to the NYO, however, that BROADY is deliberately avoiding interview in view of the numerous opportunities the NYO has afforded him to be interviewed and his resulting uncooperative attitude. It is, therefore, the recommendation of the NYO that no further efforts be made to interview him. In line with the recommendation of the NYO, it is pointed out that BROADY has publicly threatened court action against NY County District Attorney FRANK HOGAN, and these remarks have received widespread publicity in NY newspapers. BROADY'S wife has also made statements which have received much publicity. This is being pointed out to apprise the Bureau of the possible attending adverse publicity the Bureau may receive if the NYO continues attempts to interview BROADY. The Bureau, however, will be kept advised of developments in this case.

67 MAY 25 1955

KELLY

3 - Bureau (139-149) (Regular Mail)

TFM:HAF (#1-G)
(139-10)

RECORDED - 17

EX-121

12 MAY 12 1955

Mr. Rosen

CC: MR. ROSEN
AND SUPERVISOR
INVESTIGATIVE DIVISION

Approved

Sent _____ M. Per _____

Special Agent in Charge

Office Memorandum • UNITED STATES GOVERNMENT

TO : Mr. Rosen

DATE: 5-17-55

FROM : Mr. Price

SUBJECT: JOHN G. BROADY, wa., et al
UNAUTHORIZED PUBLICATION OR USE OF COMMUNICATIONS

Tolson ☒
Boardman ☒
Nichols ☒
Belmont ☒
Harbo ☒
Mohr ☒
Parsons ☒
Rosen ☒
Tamm ☒
 Sizoo ☒
Winterrowd ☒
Tele. Room ☒
Holloman ☒
Gandy ☒

The purpose of this memorandum is to recommend that we continue our efforts to interview John G. Broady concerning statements he is alleged to have made against this Bureau.

It was previously reported by our New York Office that information had come to its attention to the effect that Broady stated that the FBI was full of Communists and the FBI had raided his office and took material therefrom.

We desired to interview Broady concerning these remarks in order that we could set the record straight and admonish Broady concerning these remarks. Instructions were issued to New York to have Broady interviewed.

New York has advised that on numerous occasions Broady has been contacted by Agents but he has evaded interview and on one occasion Broady stated that he would get in touch with the New York Office but he never did. It is also being pointed out that Broady is presently under indictment for his part in the New York wire tap setup exposed in New York concerning which we conducted a preliminary investigation, referred a copy of our report to the Criminal Division, which, in turn, advised us it desired no further investigation.*

By airtel 5-11-55 New York stated that it is apparent that Broady is deliberately avoiding interview in view of the numerous opportunities the New York Office has afforded him for interview and he has exhibited an uncooperative attitude. New York recommends that no further efforts be made to interview him. It also points out that in line with this recommendation, Broady has publicly threatened court action against New York County District Attorney Frank Hogan and wide publicity has been received concerning this. Broady's wife has also made statements which have received much publicity. New York advised that it was pointing out this matter to the Bureau so the Bureau would be cognizant of the possible attending adverse publicity the Bureau may receive if the New York Office continues its attempts to interview Broady. RECORDED - 17 139-141-45

The alleged statements attributed to Broady cannot go unchallenged and as soon as the opportunity presents itself, New York should interview Broady.

Enclosure 5-18-55

HJM:mrs

67 MAY 23 1955

SEE NEXT PAGE

* Broady is being prosecuted by
DA Frank Hogan of N.Y. County.

139-149

139-149
CHL

Memo to Mr. Rosen

RECOMMENDATION:

It is recommended that the attached airtel be forwarded to our New York Office instructing it to interview Broady as soon as the opportunity presents itself.

RHM
OK
GHW

mm

200

Jayman
vcm

right ✓
A

MAY 17, 1955

AIRTEL

SAC, NEW YORK

MAIL

JOHN G. BROADY, with alias, et al
UPUC

Reurairtel 5-11-55 concerning your recommendation
that no further efforts be made to interview Broady.

The statements attributed to Broady that the FBI
is full of Communists and that we raided his office cannot
go unchallenged. You are instructed to interview Broady
concerning these remarks as soon as the opportunity presents
itself.

You should keep the Bureau fully advised of your
efforts to handle this interview and resolve this situation
as soon as possible.

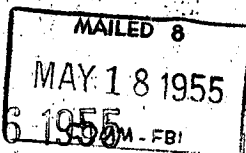
HOOVER

HJM:mrs
(8)

NOTE:

Attachment to Price to Rosen memo same
date and same caption, HJM:mrs.

Tolson _____
Boardman _____
Nichols _____
Belmont _____
Harbo _____
Mohr _____
Parsons _____
Rosen _____
Tamm _____
 Sizoo _____
Winterrowd _____
Tele. Room _____
Holloman _____
Gandy _____



20 MAY 19 1955

RECORDED - 93
EX-124

139-149-46

6 01 AM
MAY 19 1955

OK

Ln

FEDERAL BUREAU OF INVESTIGATION

UNITED STATES DEPARTMENT OF JUSTICE

AIRTEL

NEW YORK, 5/20/55

Mr. Tolson	
Mr. Boardman	
Mr. Nichols	
Mr. Belmont	
Mr. Harbo	
Mr. Mohr	
Mr. Parsons	
Mr. Tamm	
Mr. Sizoo	
Mr. Winterrowd	
Mr. Holloman	
Miss Gandy	

Transmit the following Teletype message to: **BUREAU**

UNAUTHORIZED PUBLICATION & USE OF COMMUNICATIONS

JOHN G. BROADY; WAS, ETAL, UPUC.

ReBuairtels 3/15/55 and 5/18/55 and Bureau tel call 3/31/55.

JOHN G. BROADY interviewed this date in public corridor of his office building, 19 Rector St., NYC, by SAs JOHN J. DANAHY and TERENCE F. McSHANE. BROADY advised information received by this Bureau that he had made two serious allegations against this Bureau. Advised information received that he had alleged that agents of this Bureau had raided his office premises and seized material therefrom. BROADY categorically denied having made such statement to any persons under any circumstances and stated he was certain such was not case, had no reason to believe it was so, and reiterated he had never made such statement. Was advised by interviewing agents that source of this information was reputable citizen and that Bureau considered this allegation most serious. BROADY reiterated denial.

Was then advised that allegation had been made that he had stated FBI was full of Communists. BROADY stated emphatically that he had not made such an allegation; that he would not make same since he did not believe it to be so, and had no information whatsoever as to any Communists in FBI. Was advised this allegation likewise received from a reputable source and BROADY reiterated he would have no basis for such an allegation and denied he had made same.

BROADY inquired as to sources of these allegations against him and was advised such could not be revealed. He was thereafter emphatically advised that if in fact such allegations had been made by him and were repeated, appropriate action would be taken by this Bureau since such statements would not be tolerated. BROADY reiterated his denial of having made allegations and interview was concluded.

It is noted that identity of EUGENE SULLIVAN, Telephone Co. employee who made allegations of statements made by BROADY,

③ - Bureau (139-149)

RECORDED-27

139-149-47

10 MAY 26 1955

JJD:EG 63 MAY 31 1955

Approved: 99K reb
Special Agent in Charge

Sent _____ M Per _____

Mr. Rosen

139-149

FEDERAL BUREAU OF INVESTIGATION

UNITED STATES DEPARTMENT OF JUSTICE

-2-

Transmit the following Teletype message to:

was not furnished to BROADY since possibility exists BROADY may make further efforts to develop SULLIVAN as Telephone Co. source, at which time it is expected that NYO will be advised by SULLIVAN in accordance with previous promise.

No further action being taken on this phase of BROADY case, UACB.

KELLY

CC: SAR. ROSENI
AND SUPERVISOR
INVESTIGATIVE DIVISION

Approved: _____
Special Agent in Charge

Sent _____ M Per _____

JUNE 29, 1955

AIRTEL

SAC, NEW YORK (139-10)

MAIL

139-149-48
JOHN G. BROADY, ET AL
UPUC

RECORDED
601
Reurmemo 6-27-55 pointing out that Broady's trial has been scheduled for the first Monday in October, 1955.

A newspaper clipping taken from the New York "Herald Tribune," page 11, dated 6-21-55, reveals that three of the other subjects of this case indicted as a result of the wire tap investigation in February changed their pleas to guilty and are expected to give evidence against Broady. The three subjects named were Walter Asmann, Carl Ruh and Warren Shannon.

By airtel 4-27-55 you were instructed to closely follow the State's case and report any developments to the Bureau which developed, including a report of the final outcome of the case since Assistant Attorney General Warren Olney III, Criminal Division, Department of Justice, requested to be advised of significant developments in regard to the handling of this case by the office of the New York County District Attorney.

You are instructed to suaairtel reflecting a summary of the indictments handed down thus far in this case with regard to the State prosecution and also determine whether Asmann, Ruh and Shannon or anyone else changed their pleas to guilty. All pertinent developments with regard to State prosecution to date should be reported in the summary.

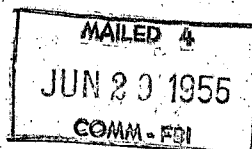
Your summary airtel should reach the Bureau no later than 7-5-55.

You are also reminded that you must continue to remain alert and follow the State's prosecution with regard to this case and promptly report all developments to the Bureau as they occur.

Tolson _____
Boardman _____
Nichols _____
Belmont _____
Harbo _____
Mohr _____
Parsons _____
Rosen _____
Tamm _____
Sizoo _____
Winterrowd _____
Tele. Room _____
Holloman _____
Gandy _____

BUfile (139-149)

HOOVER



TGL
Hm

Office Memorandum • UNITED STATES GOVERNMENT

TO : Director, FBI (139-149)

DATE: 6/27/55

FROM : SAC, New York (139-10)

SUBJECT: JOHN G. BROADY, etal
UPUC

Re Bureau 0-1 form dated 6/14/55.

Assistant District Attorney A. MELIA, New York County District Attorney's Office, advised SA MICHAEL O'ROURKE on 6/27/55 that BROADY's trial has been scheduled for the first Monday in October, 1955.

The NYO will continue to remain in contact with MELIA regarding any prosecution of BROADY.

ENCL.

TFM:EG

RECORDED

10 JUL 1955

EXF. PROC.

EXF.

3 Shift Pleas To Guilty in Wire Taps Likely to Testify Against Broady

By Judith Crist

Three of the four persons indicted as a result of the wire-tap investigation in February changed their pleas to guilty yesterday and are expected to give evidence against the fourth.

Two former telephone company employees and the occupant of the 360 E. 55th St. apartment headquarters of the East Side wire-tapping ring pleaded guilty to two counts of tapping telephone lines and one count of conspiring to wire-tap, covering the charges in the nine-count indictment against them.

Two assistant district attorneys urged acceptance of their guilty pleas, pointing out that the men had been "co-operative" and would be witnesses at the forthcoming trial of the fourth defendant, John G. "Steve" Broady, attorney and private investigator who allegedly master-minded the wire-tapping operation.

Three Held in Bail

The three, who were continued in \$1,000 bail each by General Sessions Judge Jonah J. Goldstein for sentencing on Nov. 16 are:

WALTER ASMANN, twenty-nine, of 145-81 175th St., Jamaica, Queens, formerly employed by the New York Telephone Co. as a "frame man," connecting subscribers' telephones to exchanges.

CARL R. RUH, thirty, of 3336 Decatur Ave., Bronx, formerly employed by the telephone company as a telephone tester.

WARREN B. SHANNON, thirty, a film electrician, whose apartment at 360 E. 55th St. was raided by police on Feb. 11.

Keating Revealed Raid

The secret police raid, which resulted in no arrests, was exposed on Feb. 17 by William J. Keating, then counsel to the New York City Citizens Anti-Crime Committee. An investigation begun the following day resulted in the four indictments and Mr. Keating's serving five days' imprisonment after his conviction of contempt for his refusal to reveal the sources of his information about the raid.

No action has so far been taken against any member of the Police Department allegedly involved in the scandal.

The three defendants told Judge Goldstein yesterday they had received no promises in changing their pleas of innocent—made at their arraignment.

Mr. Tolson ☒
Mr. Boardman ☒
Mr. Nichols ☒
Mr. Belmont ☒
Mr. Harbo ☒
Mr. Mohr ☒
Mr. Parsons ☒
Mr. Rosen ☒
Mr. Tamm ☒
Mr. Sizoo ☒
Mr. Winterrowd ☒
Tele. Room ☒
Mr. Holloman ☒
Miss Gandy ☒

Wash. Post and Times Herald ☐
Wash. News ☐
Wash. Star ☐
N. Y. Herald Tribune ☒
N. Y. Mirror ☐

Date: JUN 21 1955

ENCLOSURE



Herald Tribune photos by Don Rice

Change pleas to guilty in wiretap case: Left to right, Carl R. Ruh, Walter Asmann and Warren Shannon.

ment Feb. 24, five days after their arrest. Assistant District Attorneys Aloysius Melia and Harold Birns recommended acceptance of the pleas, declaring that the two had been co-operative and would testify at Broady's trial, which is expected to be held in September or October—hence the Nov. 16 date for sentencing of the other three.

Possible Sentences

Broady, who lives at 110 Riverside Drive and has offices at 19 Rector St., was arrested May 2 and on May 9 he pleaded innocent to a fourteen-count indictment charging him with being head of the illegal wire-tapping ring which had been monitoring private calls on the East Side since Sept. 1, 1953. Asmann, Ruh and Shannon were named as his "co-conspirators and employees."

Broady is free on \$2,500 bail awaiting trial.

The three men are liable to sentences of five years each, two for each count of wire-tapping and one for the conspiracy count. Involved in their pleas were charges that they had tapped the telephone lines of Rudolph Heinneman, an art dealer, at 465 Park Ave., between Sept. 15, 1954, and Feb. 11, 1955, and of E. R. Squibb & Sons, a drug firm, at 745 Fifth Ave., on Feb. 10 and 11, 1955.

How Ring Operated

According to District Attorney Frank S. Hogan, Broady, who is fifty-two, conceived the wire-tapping setup in 1953 and ordered Shannon to lease the E. 55th St. apartment. He then, according to the indictment, got Ruh and Asmann to make "certain connections" outside the

telephone exchange at 228 E. 56th St., and run lines into Shannon's apartment, where the wire-tapping machines and recorders were set up. Subsequently, it was charged Mr. Broady opened another wire-tapping setup at 303 E. 53d St.

157-147-48
ENCLOSURE

Assistant Attorney General
Warren Olney III

July 11, 1955

Director, FBI

RECORDED - 30

139-149-49
JOHN G. BROADY, with alias, et al.;
UNAUTHORIZED PUBLICATION OR
USE OF COMMUNICATIONS

Reference is made to our memorandum dated
May 9, 1955.

Our New York Office has advised that Assistant
District Attorney A. Melia, New York County District
Attorney's Office, New York, stated that John G. Broady,
whose trial is scheduled for the first Monday in October,
1955, has been indicted on nine counts of wire tapping,
two counts for possession of wire tap instruments, two
counts of maintaining a location for wire tapping, and
one count of conspiracy to commit wire tapping.

Mr. Melia stated that Carl Ruh, Walter Asmann,
and Warren Shannon, entered pleas of guilty on June 20,
1955, to two counts of illegal wire tapping, and one
count of conspiracy to wire tap. Mr. Melia said bail has
been set at one thousand dollars for Ruh, Asmann and
Shannon, and he stated they will be sentenced on
November 16, 1955.

Mr. Melia said other individuals are under
investigation at this time in connection with the District
Attorney's prosecution of this case, however, he did not
wish to disclose the names of the individuals at this
time.

You will be advised of any pertinent developments
concerning the State's prosecution of this case pursuant to
your previous request.

NOTE: This case involved the N.Y. wire tap set up
discovered in February, 1955. We conducted a
preliminary investigation and referred a copy of our
report to Mr. Olney. Mr. Olney advised that we should
conduct no further investigation but he stated we should
follow the N.Y. State prosecution and keep him advised of
developments.

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FEDERAL BUREAU OF INVESTIGATION
UNITED STATES DEPARTMENT OF JUSTICE

NEW YORK
7/5/55

Transmit the following Teletype message to: BUREAU

JOHN G. BROADY, ET AL; UPUC.

Re Bureau airtel, 6/29/55.

Assistant District Attorney A. MELIA, New York County District Attorney's Office, advised this date that BROADY, whose trial is scheduled for the first Monday in October, 1955, has been indicted on 9 counts of wire tapping, 2 counts for possession of wire tap instruments, 2 counts of maintaining a location for wire tapping, and one count of conspiracy to commit wire tapping.

MELIA stated that EARL RUH, WALTER ASMAN and WARREN SHANNON entered pleas of guilty on 6/20/55 to 2 counts of illegal wire tapping, and one count of conspiracy, to wire tap. MELIA said bail has been set at \$1,000 for RUH, ASMAN and SHANNON, and that they will be sentenced on 11/16/55.

MELIA said other individuals are under investigation at this time, in connection with the DA's prosecution of this case, however, he did not wish to disclose the names of the individuals at this time.

MELIA advised he will contact the NYO of any significant developments in this case, and the Bureau will be accordingly advised.

KELLY

RECORDED - 30

3-BUREAU (139-149) (REGULAR MAIL)

TFM:GES (#1-G)
139-10

22 JUL 6 1955

Approved [Signature] Sent M Per
Special Agent in Charge

Mr. Rosen

RECORDED - 7

Assistant Attorney General
Warren Olney III

July 15, 1955

Director, FBI

100-149-50
JOHN G. BROADY, et al

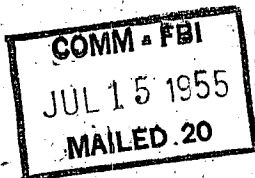
11-1 UNAUTHORIZED PUBLICATION
OR USE OF COMMUNICATIONS

There is enclosed a copy of the report of Special Agent Terence F. McShane dated July 12, 1955, at New York, New York, captioned "John G. Broady, et al; Unauthorized Publication or Use of Communications."

You will be furnished with further reports in this matter when they are received.

Enclosure

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Boardman _____ JGL:mrs
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Belmont _____
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6 JUL 26 1955

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Office Memorandum • UNITED STATES GOVERNMENT

TO : DIRECTOR, FBI (139-149)

DATE: 7/12/55

FROM : SAC, NEW YORK (139-10)

SUBJECT: JOHN G. BROADY, ET AL
UPUC

Transmitted herewith are three copies of the report of SA TERENCE F. MC SHANE, 7/12/55, New York.

EDWARD JONES, NYC. Anti-Crime Committee, 270 Park Avenue, New York City, furnished SA McSHANE on 6/29/55, BROADY'S personal telephone book containing the names of BROADY'S clients and contacts. Photostatic copies have been made of the book and one copy is being forwarded to the Bureau. JONES said the telephone book was BROADY'S current book in 1949.

Due to the identity of some of the names contained in BROADY'S book and the source from which obtained, it is not felt that this material should be included in rerep. All of the names in BROADY'S book have been indexed in the NYO.

REGISTERED MAIL

Enc.-4

TFMcS:mfs

ENCCL. + PHOTO ATTACHED

7-15-55
364/mcs

RECORDED - 70

JUL 13 1955

H. J. [unclear]
SIX

RECORDED
50

FEDERAL BUREAU OF INVESTIGATION

Form No. 1

THIS CASE ORIGINATED AT **NEW YORK**

FILE NO.

REPORT MADE AT NEW YORK	DATE WHEN MADE 7/12/55	PERIOD FOR WHICH MADE 4/5, 7, 20, 21, 25, 28; 5/20, 24; 6/17, 20, 22, 28, 29; 7/12/55	REPORT MADE BY TERENCE F. McSHANE mfs
TITLE JOHN G. BROADY; ET AL			CHARACTER OF CASE UPUC

SYNOPSIS OF FACTS: **EDWARD M. JONES, NYC Anti-Crime Committee, states BROADY is not engaged in any wire tapping activities.**

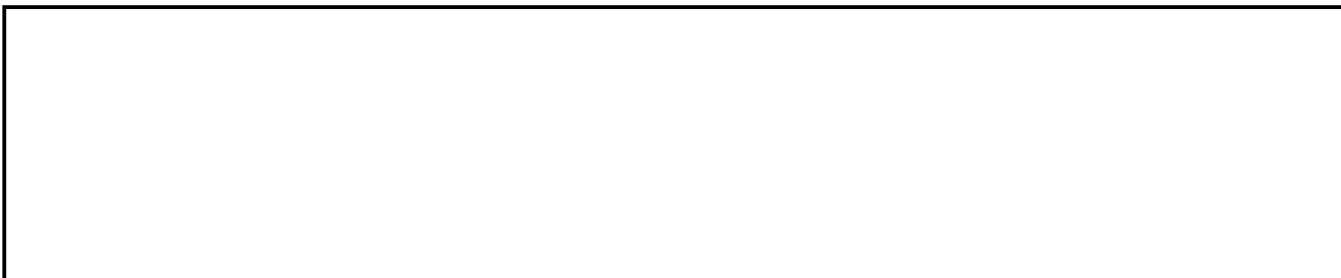
-P*-

DETAILS: On June 28, 1955, EDWARD M. JONES, New York City Anti-Crime Committee, 270 Park Avenue, New York City, advised that he contacted many of his sources around New York who are cognizant of activities in the wire tapping field, and he determined that the subject is no longer engaged in any wire tapping activities. JONES stated that it is the consensus of opinion of the people who are familiar with wire tapping in the New York City area that BROADY has ceased wire tapping due to the fact that he has been indicted for wire tapping and faces prosecution.

APPROVED AND FORWARDED: <i>[Signature]</i>	SPECIAL AGENT IN CHARGE	DO NOT WRITE IN THESE SPACES 139-149-50 ENCLOSURE 22 JUL 13 1955
COPIES OF THIS REPORT ③ - Bureau (139-149) (RM) 2 - New York (139-10)		RECORDED - 77 <i>[Handwritten notes and stamps]</i>

PROPERTY OF FBI—THIS CONFIDENTIAL REPORT AND ITS CONTENTS ARE LOANED TO YOU BY THE FBI AND ARE NOT TO BE DISTRIBUTED OUTSIDE OF AGENCY TO WHICH LOANED.

NY 139-10



b7D

On April 5, 25, and 28, 1955, spot surveillances were conducted at the subject's residence and business addresses, however, the subject was not observed.

-P*-

NY 139-10

ADMINISTRATIVE PAGE

LEADS

THE NEW YORK OFFICE

At New York, N. Y.

Will remain in contact with Assistant District Attorney A. MELIA, New York County District Attorney's Office for information re the DA'S prosecution of BROADY and advise the Bureau in this regard.

REFERENCE New York airtel to Bureau 7/5/55.

ADMINISTRATIVE PAGE

139-149-50

ENCLOSURE

ENCLOSURE TO THE BUREAU

JOHN G. BROADY; ET AL - UPUC

BU FILE 139-149

Answering Service

214-7750
2004-8420
204-8424

Pay Station in lobby 19 Rectors St
Wh 4-9440-41-42

PAY STATION - 110 RIVERSIDE DR. SUS 7-7444

HOSPITAL PAAN - GROUP No. 937P
IND. No. 127984 W.

New no 25-47090

214-7154

HAROLD KAY'S CAR - 1946 HARRON DODGE
2 DOOSK DAN - LIC. No. 5U7664.

1946 RED - 1950 N.Y. 3-24000 - ANNA DOOK.
6C2358

1946 TUDOR BLUE - 1950 N.Y. 3-24000
1949 N.J. - 10-668 - HILTON

1948 - BLACK FORDOR - 1950 N.Y. 3-24000
may 1949 - N.J. - 1/0780 1N1849

1948 GREY - 1950 N.Y. 3-24000 6C2358

1946 N.J. - 10-668 - HILTON

1946 OR 47 RED DODGE - 1948 N.Y. 5U7664

Joe E. Edmole 458-520

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Sept 6th Staff
 21 Feb 4
 John Coleman

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Al Ci 55718

Rec 2-2921

✓ Albany Martin V. 1st

✓ Albany 7-4521

✓ [Handwritten notes in a box]

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ADMISSION TO BAR IN N.Y. STATE

TO CHECK WHETHER ANYONE HAS BEEN ADMITTED TO BAR IN N.Y. STATE JUST CALL MR. MELIUS ALBANY, N.Y. 4-8101 AND HE WILL GIVE YOU THE ANSWER ON THE PHONE

✓ albelli' nuz 8582

~~ALBERT CHARLES - P.C. 4787 IMPERIAL TRAD~~
~~25-11/13/48 11/13/48~~

✓ ALMIRALL, LLOYD V. RES:- KATONAH 554-J

✓ AMERICAN BANK NOTE Co.

PRVT. BRONX No. DA 9-4021 MAN. OFF. WH 4-6200
 ✓ Anderson Caroline Community 6-9950

ANDERSON, A. EDDIE - HOTEL LEXINGTON - WIZ-4400
 210 E 38TH ST. - MU 4-2239

~~ANDREWS, WOLCOTT - RES. BUS 6-440~~
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✓ APT. REPAIRS - 65TH ST.
 ELEVATOR - C+C ELEVATOR - GR 5-1603
 MR. PERRY AT BRETT, WYKOFF ETC. - EL 5-6900
 RADIO - BENNETT - VANG 6-5926

✓ ARION, LOUIS - 1025 GERARD AVE, BRONX, N.Y.
 JEROME 6-6720

✓ ARNOLD, GEORGE - WHITE HAIR GOOD APPEARANCE
 204 W 55 - CI 7-2000 X 404A - OFF: TELLIER + Co.
 42 BWAY D14-4500

✓ ASTOR, MRS. E.T. - 953-5TH AVE. - BU 8-3415 - BU 8-6686
 NEWPORT 4112 - WATER 9-8433

✓ ASTOR, JOHN - 998-5TH AVE, NY 28, NY COR 81ST
 RES: LISTED BU 8-2776 NON PUB. BU 8-4247
 MRS. ASTORS PVT. WIRE AT 998-5TH AVE - RH 4-2038
 OFF: 30 ROCKEFELLER PLAZA, RM. 4407 - CI 6-2189
 NON PUB OFF: CI 7-4258 - BERNARD SVILLE N.Y. 8-0422
 NEWPORT 4112 - BILLYS BIRTHDAY JULY 19, 1935
 MR. A. AUG. 14 Newport 4112 Easthampton 38
 Easthampton 338 "Crosby"
 Wallace Benjamin Collins on Crossways St.

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ATLANTIC CITY, N. J. (INVESTIGATOR)

GARBARINO, FRANK L. - 1 SOUTH HILLSIDE AVE.
VENTNOR, N. J. - ATLANTIC CITY 2-0707

ATLANTIC REFINING COMPANY
GET PHILA. OFFICE BY CALLING - CANAL 6-3326

Apt Lewis office Union 3-0151
I went new york

Avery & M P Jr Maurice P Jr
office Gary 2-6348
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Bergare Marguerite wife of Leon F
125 E 72nd Bu 8-9066
Brother Victor 345 W-23rd

Baldwin Leo A Tel Vi 7-3289
✓ 83-09-2nd St New gardens

Bail Bonds
max mitnick
131 Schermerhorn St
Brooklyn 2 ny.
main 4-8816
met Herbert weiner

Bowling Otho S.
233 Bway Room 1608
Co 7-1691

Barton Cecil W 7-0744

Promthead a f.
off 3-9577 L. with Bank Bldg

Res 3-5576

Blackwell Wm W

Res 3-9125
off 22985

Becker Wm wh 4-0470

Burke Co 7-6954

Dentist Room main 5-9030

✓ BALDING, CURTIS A. - 142 SHILLBANK PL
ROCKVILLE CENTER, L.I. TEL: ROCKVILLE CENTER 6-7855

✓ BARBER SHOP - 19 RECTOR ST. - BO 9-5490

✓ BARBOUR, PAUL - EX 4-7300 X 2750 - RES: WESTWICH 275

✓ BERGMAN, SIDNEY - BERNDY ENGR. CO. MO 9-3400
~~RES: 1000 W. 10th AVE. MO 8-3000~~ RYSEL TEL: CLEVELAND
Page 7-3226

✓ BERNER, T. ROLAND - 30 BROAD STREET. HA 2-9443
RES: 1175 PARK AVE - AT 9-1312.

✓ BIENSTOCK, ABE - OFF: 30 BROAD ST, DI 4-0760
RES: REG 4-8861 OR OYSTER BAY 1552

✓ BLACKETT, GEORGE - 341 MAD AVE., MU 6-7374
52 Wm. WH 4-6078.

Blue wiche 126 E 31, Lx 2-4532

BLAIR, CYNTHIA - 215 WASHINGTON ST. UN 4-8511
C46 John P Bonner

BONNER, PERRY - OFF: 412 2-5TH ST. N.W. WASH. D. C.
~~METROPOLITAN 5500~~ - RES: 311 LEIGHTON AVE.
SILVER SPRINGS, MD. RES: TEL: SHEPARD 1428 SONS
OFFICE: DISTRICT 2646

BORG, ELMER W. - 10552 So. Wood Ct. CHICAGO 43,
ILL. - RES TEL: BEVERLY 5157 - OFF: IN CONSL.
TICKET OFFICE N.Y. CENTRAL 163 W. JACKSON BLVD.

BOWDRE, PHILIP ROSS - WA 4-4500
RES: 4141-41ST ST - SUNNYSIDE. L.I.
STILLWELL 6-0237

BOYER, PAUL F. OFF: 919 N. MICH. AVE.
CHICAGO 11, ILL. - TEL: SUPERIOR 0858 - RES: UNIV. 7311
47311

BOZEMAN, ROBT M. - 70 PINE ST. - RM. 1909 - WA 4-5224
RES: 106 94TH ST. SAC 2-6488

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BRADLEY, BOB - LAWRENCEBURG, IND.

BREDBENNER, MAZETTA - 136 W. 75TH ST. - EN2-9548

BUS: ESMOND MILLS - MU3-9300

BRETNALL, HAROLD B. - PVT. OFF. WH3-0669
23 THAMES ST., 3RD FLOOR - BE3-0666 - RES: KATONAH 734
OR YORKTOWN HTS. 457 - SON PRINCETON, N.J. 1556-J.
136 LIBERTY ST. - BA7-8454.

BREYAIR, ARTHUR A. - 19 RECTOR ST. - RM 2705
WHI3-2670 - 7 GRAHAM CIRCLE - W. PALM BEACH
TEL: W. PALM BEACH 4595

BRILEY, JOHN MARSHALL - B309-8500
1 EAST END AVE. - RH4-7670

BROADY, ARTHUR E. - 115 HALSTEAD ST., E. ORANGE, N.J.
TEL: ORANGE 4-4880 - RES: PLAINFIELD 6-10108

Eng. H. G. delaware manguadale BR

BROADY, ARTHUR W. - 601 W. 26TH ST. - WA4-3821
N.Y. RES - 95TH ST + RIVERSIDE C/O WALTERS - UN4-1461
307 MC DANIEL AVE. - WILMINGTON, DEL. 4-7360

BROADY, F. VICTOR - 10629 CAPISTRANO AVE
SOUTH GATE CALIF. TEL: KIMBLE 3806

BROADY, HENRY V. - 1103 So. SHEPARD DRIVE.
RES: TEL JACKSON 2-3370 - OFF: 705 CITIZENS STATE
BANK BLDG. - MAIN + PRESTON STS. TEL: FAIRFAX 5729 - HOUSTON 2, TEXAS
Miment Per 1744 Bolsover Jackson

BROADY, KNUTE O. - 3427 SHERIDAN BLVD
LINCOLN 6, NEB. - TEL: 1-1-3069

3-2208

BROADY, PAUL A. - EDITH, FRANK - EARLY - FRED.
12 W. NORTH ST. - GREENVILLE, S.C. - TEL 514 -
RES 521 GROVE ROAD - RES TEL: 6647 J.

Blackhorse Pk. RFB Sewell NJ.
Tel. Williamstown 9-0255

BROWN - MRS. GRACE - 43 W. 88TH ST.

SC 4-9438 C/O SAM - SHAPIRO - MARY LIVES
ON FLOOR ABOVE C/O JACK WEINBERG.

823-6815

BROWN - JOHN G. (BOBBY + BLANCHE)
1669 YORK AVE. - TRAF. 6-2432

BUCHANAN, LEO - C/O CRAT FLOWERS
Bor 8-8660 - Res. Tel. PL 9-1477

BURGESS - RAY - OFF: 2 W. 46TH ST.
BR 7-7707 OR BR 7-2587 - RES: 145E. 55TH ST. PL 9-5889

for 2 2870 145E 55TH ST. PL 9-5889
only 145E 55TH ST. PL 9-5889

Burnett Elvia 375 Park EL5-1478

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Tel Temple 1662

Bluearchie Lap 2-4532

Birdwood 8-5722

4-668 2-6648

Tel Williamstown 9-6648

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Crane John M. Room 708 - 37 Wall St
Rm 708 - 37 Wall St

~~Res 26-23 92nd St~~
400 Park Ave PL 3-9288

Res 26-23 92nd St

Jackson Heights
Res 26-23 92nd St

Coone Arnold

Gary Port Dubuque

Port off Tel 2-7993

Home 7910

Ann 6-9200

Carfano's Supr.
Gr. 5-6760

CALARCO, ANTHONY - SEC. TO MUNI CT. JUDGE
GENUNG - 8 READE ST. RM 702 - TEL: WOR. 2-1475

CALLAN, HAROLD A. - MASONIC BLDG, CHATHAM NY
OFF. TEL - 466 RES. TEL - 5344

CANAPARY, MRS. ALICE (FINGERPRINT)
520-8TH AVE, BKLYN - STERLING 8-1273

CARVER, EDW. M. - 3223-48TH ST, ASTORIA, L.I.
BUS: NEW WESTON HOTEL - PL 3-4800

CAVANAUGH, TOM (DAILY NEWS) MU 2-4567
RES. AC. 2-8277

CENTRAL INFORMATION BUREAU - WASH. D.C.
TEL: EXECUTIVE-3300 - WILL HELP LOCATE GOVT. EMPLOYEES

CHICAGO, ILL. - CAPT. DANIEL A. GILBERT
CHIEF INVESTIGATOR STATES ATTN, Cook Co.
FRIEND OF EDDIE MELCHEN.

LT. LEONARD C.M. JOHNSON - 610 S.
CANAL ST., RM. 953 - CHICAGO - TEL: WABASH
3860 - RES. TEL: MERRIMAC 5358.
2019 N. NEVA - INVESTIGATOR FOR U.S. ATTY.

L.O. LEVY (INVESTIGATOR) - BUS: 19E.
JACKSON, TEL WABASH 5200, FINCHLEY
RES: 6118 S. GREENWOOD, CHICAGO 37, ILL - HYDE PARK 10424

CHICAGO, POST OFFICE
MELVIN GOLDSMITH, 6TH FLOOR OF P.O.
BUILDING ON VAN BUREN, 1 BLOCK FROM
PENN. STATION, CHICAGO.
(FRIEND OF HERB GRAHAM)

COFFEY, JOAN (NURSE) 802 BEXINGTON AVE
REG. 4-8744

CONNECTICUT MOTOR VEHICLE BUREAU
HARTFORD 7-0181 - MOTOR VEHICLE EXT. MR. SAYRES

COOPER, CLIFTON - KLEIN, ALEXANDER + COOPER.
165 BWAY - BIG 9-2930 - RES. TEL. WESTPORT, CONN. 2-5772
Connelly Jack Ci 6-4400 X750276

CORNELL, ANTHONY + ELEANOR
5229 LEITH PLACE, LITTLE NECK, QUEENS
TEL. BAYSIDE 9-1995 M.

CREDIT BUREAU OF GREATER N.Y. - WAH-4500

CROMWELL, JAMES H.R. - 25 KINGWOOD ROAD,
WEEHAWKEN, N.J. - RES. TEL. UNION 5-1611 (Lo 4-1888)
OFF. 441 LEX. AVE. TEL. MU 7-3225
Mr. Hage Res. Ri 9-3500

CRONE, HARRY B. - 456 RIVERSIDE DR. MO 2-3052
MAIN OFFICE ILGU. 6050 X8
1719 Bway 3rd floor

CRONIN, CAPT. JOHN - PVT. OFF. TEL. SPRING 7-1316
MAIN OFFICE: C.A. 6-2000 - RES. FAIRBANKS 4-5166
Res 4311 Richardson av Bronx 66 New York

CROTTY, THOS. - WAT. 9-5574 - SAFE + LOFT SQUAD
FRIEND OF E. MELCHEN.

Crowwhite Nettie
Res 86 Thayer St for 9-2684
off for 7-3600

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Dufoir Mildred 3-1267.

All Vivian Bar motor vehicles
607-9800 X 7202

David Murray P.W. 7-0102
10 Terrace Drive
Barclay 7-3211
✓ EXT. 450

DONOVAN, ALFRED R.
15018 LAFAYETTE AVE. Bx.
T. 1 2-5479

Delaney Wm (Speedy)
203 West 81st St
Tel En 2-3387

Partner of Don O'Neil

De Mers nyc
✓ 1308 St Catherine St W
Montreal

DE FEE, LOIS- 308 W. 82ND ST. - APT. 3.

DEL RIO GARAGE, 157 W. 83RD ST. - TR. 7-1980

DELZAERT, MRS. - 300 PARK AVE. - PL 3-5708

Per Bayview Road R.F. #1 *Delmer Spring Marquette*
(7091)

DE MERS, VICTOR E. - OFF. - 1211A CONN AVE.
WASH. D.C. OFF. TEL - NATIONAL ~~WASH~~ RES. TEL.
PLEASANT 8560 WASH. D.C. - MONTREAL RES.
2648 WURTELE ST. FALKIRK 0870

Delmer 1982 nyc Marquette 5701 Park 4/9
Warren Res
DE MERS, WARREN - ST ADELE 159M

DE ROSA, SGT. STEVE. 137 E. 53RD - PL 4-6642

DEVINE, ROSE - 8702 BRUCE RD. ROCKAWAY BEACH
346 E. 18th ST. - Apt. 14

DICKSTEIN, LOU - SED 63-6584
DEPUTY SHERIFF.

DONATO, DOMINICK - FRIEND OF EDDIE
MELCHEN - RES. BEACHVIEW 2-6986
1460 - 71 ST. BKLYN 28, NY.
OFF. SPRING 7-6944.

DORMER, FRED A. - 41-22 42ND ST APT 7A
SUNNYSIDE - IRONSIDE 6-7573

DUNCAN, MISS VIRGINIA. - OFF. TOMPKINS,
30AL + TOMPKINS - 116 JOHN ST. N.Y.C.
CORT. 7-5556 - RES. HOLLS 5-~~6628~~

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DUNN, JOSEPH E. P.

BUS. - 5682 WILSHIRE BLVD., LOS ANGELES

BJS-TEL: WALNUT 7107

RES. 5075 EDGEWOOD PLACE - WYOMING 7403

(HE HAS JOE MCCARTHY ~~AND~~ WITH HIM NOW.

IF CAN'T HANDLE WILL PROBABLY REFER TO
BERNIE LECKIE) RECOMMENDED BY TOM TRACY.

DU VARRO, VINCENT.

36 S.W. 20TH AVE - MIAMI, FLORIDA.

Check latest Miami Post

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EARLY, MRS. THEODORA (TEDDY)

JAMAICA 6-6582

EAST HAMPTON-

SMITH, FRANK B. (BUILDER)

DAVIDS LANE, EAST HAMPTON, L. I.

TEL: EAST HAMPTON 602

KELLY, ALFRED - TEL: 861 OR 891

Mm 2-0028

ELETZ, ABE - RES: TEL: ~~8418~~ 0028

OFF. - TEL: CO 7-9800 X 7019 - Room 724

ENGEL, PAUL - RES. LORRAINE 2-9373

OFF. - HAUTZ ENGEL & Co. - BO 9-8193

ERIT, B. BERT 330 E 4TH ST BKNYN

GE ~~8~~ 8-7192

Eastman George (nephew of ~~Adolph~~ ~~Hend~~)

Mm 2-3329

Regent 7-8745

Eastern Mh ~~mt Kisco 5502~~

~~Sunny Plaza Hotel~~

Elety Bernard 1000 Park Avenue

451-2nd Ave (bet 25th & 26th)

Tel Mm 9-0833

Office Tel Oregon 3-2772

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Fischbach H 2 Ha 2-9666

301 W 108 St 2-0251

Fischer Ruth (Mrs. Warren Fischer)

8847-82nd Ave

Vi 7-4990 J

60 John St Ha 2-5050

Fouche Zehn

Pennybacher 3662 (West Point)

Phila St Forest 7-6899

Follmer John P. Garden City 7-3423 J
Ha 4/5 Dodge Sedan N 57309

Folcone C E

off Humboldt 2-7044

Res South Orange 3-2148

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ELEVATOR OPR. 19 RECTOR ST-54 W 70TH ST.
APT. 7, TR 4-8923

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FLOOD, ROBERT 347 MAD. AVE. OFF. TEL.
VAG-3290-RES. TEL. MONMOUTH JUNCTION 4772

Forman Frank P Jr 6-7956 42-23-42nd St
25C 4th

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SOUTHAMPTON 535 ALSO BROOK CLUB. N.Y.C.

FOX, GEO. H (ATTY) 70 PINE ST. BO 9-2310

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YONKERS 5-5066 - (GARDENS, YONKERS)
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Gouldard Ruth
813

Goal Trading Corp
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SI 4-5120

GARBARINO, FRANK L. (INVESTIGATOR)
ATLANTIC CITY 2-0707
1 SOUTH HILLSIDE AVE - VENTNOR, N.J.

Ci 6-6141

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RES. NAV. 9-1541

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BOULEVARD 8-3584.

GILBERT, FREDERIC N. - OFF. BO 9-0242
RES. MAMARONECK 9-0959 - CLUB RYE

7-0900

GILBERT, PHIL. E. JR.
OFF. WH 4-6970 - RES. LARCHMONT 2-1795

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Grant Hotel W 6-6935
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GLUCK, HENRY CPA - OFF. EL 5-0630
RES. TR 7-9355 - 246 WEST END AVE.

GORDON, CLIFTON R. (wife Janet)
OFF. RE 2-5700 X 687 LEGAL DEPT. FED. RES. BANK.
13 E 55th 929-7998

GRAHAM, HERR + LORETTA
425 WEST 23RD ST. CH. 3-0920
PE 6-7700 805-5th Ave apt 4

Baytona Beach Fla 3477023424
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GRAND CENTRAL

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WHEN ASKING FOR RESERVATIONS AS HE
ALWAYS UNDER ASSUMPTION THEY ARE
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HIS ASSISTANT IS LORENSEN LORENZ.
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ONE WORKS DAYS - OTHER NIGHTS - HE IS A
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will call

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union 5-2075 6100 Hudson Blvd
7-8250
209-79th St N Bergen C/o Smith union 8-5086
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Zone 5495
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Hammer Brother 904-70 Pine St Tel WH 4-6968
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31 WALL, R.M. 2018 - DI 4-4220
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OFF 515 MAD. AVE - 27TH FLOOR - EL 5-4670

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RIVER ROAD, NEW CASTLE, DELAWARE - NEWCASTLE
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NO. ARLINGTON, N.J. TEL - KEARNEY 2-0006

Rectel. Mu 3-6178
HILTON, ROSE - SCH 4-2436 (Mu 7-4261)
Rm 1509 (475-5-4)
233 E 92
HILTON, SAMUEL H + FANNIE HILTON
115 PAINE AVE, IRVINGTON 11, N.J.
ESSEX 2-4855

HILTON'S (NAT'S STO. 2)
KEARNEY 2-5315 - 850 KEARNEY AVE -
ARLINGTON, N.J. - RES - KEARNEY 2-0006

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HOGGLAND, CAPT. ELIAS W. 5076w ~~Florian~~
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RES. 5764 GOODFELLOW AVE.
TEL - EVERGREEN ~~226~~ 6696

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RES. TEL - COOKVILLE 159-W - COOKVILLE, ONT.

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or Midway 3-02700 Plaza 2-5064
Hugler Vera - out of town WA 4-9105

Hardenbergh Mrs Bernardville 8-0112

Hugle - office Union ~~226~~

Plant Union 6-6276
2135 - 88th St - North Bergen 29

Res Fairlawn 6-4299M

Capital Rest Union - 9866

Fairlawn 6-42748

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ON ALL INT'L FLIGHTS

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Irvine Ray
offered wk 3 - 3000
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W. Overman ny
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Jungerson Thayer G.

11 Little for playing

Account of

22 Summit 6-2299 06-4080

Some name & address

JACOBS, VIRGINIA-33 LOVES LANE

WYNNEWOOD-TEL. ARDMORE 1230

6-8649

JACOBSON, MAJOR HOWARD

NEW ROCHELLE, ~~NEW YORK~~ OFF. DOEHLE JARVIS CORP.

386-4TH AVE. OFF. TEL. ~~NEW YORK~~ 9-3440

New Rochelle 6-8649

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Co. 5-2525-ANSWERING SERVICE-LEAVE MESSAGE

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HOTEL AMBASSADOR-PLAZA 5-1000

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(ARTHUR BARRINGTON)

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Jamaica
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350 E 77th
Regent 4-4515
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LEX 4-5760

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OFF - ~~1-11111111~~ 2 Park Ave

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Kater Celia Kirsch, Ulster 5-3358
Jerome 8-0931, Parkside Hotel 235 Wash
Ave Miami Beach, 59610
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VA. TEL. CHESTNUT 1895 - ~~0-11111111~~

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KENNY, JOHN F. - 245-8TH ST., JERSEY
CITY 2, N. J. RES. TEL. JOURNAL SQUARE 2-7916
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SLOCUM 6-2684

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NEWARK, N. J. - ~~BIGLOW 8-9393~~
(18) BIGLOW - 2-4960

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END 2-0645

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FREEPORT 9-3806.

KREINDLER, MRS.
114 EAST 73RD ST - BU 8-2925

KREUGER, HELENE - TEL: MO 2-7693
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KULCSAR, RUTH (DR. JOHN)
112 MOWBRAY PL., MEY GARDENS
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RES. TEL: VI 7-7788 - OFF. TEL - RE 7-1160

KURLAND, ROSITA
76 W. 85TH ST - TR 4-1419

Kingledal 5-2478

WILLIAM J. KENNY
228 FIRST STREET
JERSEY CITY, N. J.
JOURNAL SQUARE 2-7743

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Office 306 Ninth St NW - Wash DC 0927

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JACKSON HTS. - HAV 9-8013

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SAC-2-4105 - HILLSIDE AVE, FAIRFIELD.
CONN. TEL. FAIRFIELD 9-0054.

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Ha 2-7491

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Manacher Irving A Mt 9-4040

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Cherry 2231 Johnwood 1737

Minton John McKim Mu 5-5565

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Irving Manacher

Central Coal Co Mo 9-4040

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PORT CHESTER 2016 - NEW ROCHELLE 6-5822

245 HUGENOT ST, NEW ROCHELLE 5-5822

Masson Gene 133 W 93 St

MASSON, GENE - 133 W 93 ST

Ha 9-9215

MASSON, REG. - 44 DOWNING ST

o'land CH 3-5578

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TEL WILL BE 2-6464

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RIVERSIDE STATION, MIAMI 35. OFF. MIAMI 6611

RES: TEL. MIAMI 4-5286

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McMullin Bill Wm-7
25-5th ave
Sr 5-7952

McMullen Dale
Ry. Jan 6-1946
St 4-8220

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OFF. ELGIN 1239 - RES. MORAWK 3663
RM. 1005 - 330 BAY ST. - ADELAIDE 4559 X ELGIN 4012?
N.Y. RES. 405 E 54TH ST. - PL 8-244 30474

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NEW ORLEANS, LA. - TEL. ~~UNKN~~ ~~UNKN~~
Chestnut 7054

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ONTARIO. TEL: WESTON 1536 W. - SUBLET APT. -
TEL: PL 9-1332. ~~22254th ave~~
Tel. Regina 5790 11406 - 74th ave
Edmonton 32546
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Tel. 8th Mel. 5211

MC GRATH, PAUL - NIGHT-5-8163

MC GRATH, THOMAS A.
175 E 79TH ST. - DI 4-7630 - REC 7-1191
BREWSTER MASS. 60

MC INNERNEY, T. H.
RES: 820-5TH AVE - PVT. OFF: MU 6-6179
REG. 4-0737

MC MAHON, FLOYD - WHITE PLAINS-2303 M

MC NALLY, THOS. J. - 32 So. MUNN AVE, E. ORANGE
ORANGE 4-9875 - (17 YRS AS DET. ESSEX Co. #15-00 Chg. PL. DAY)

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McNULTY, GEO.

1701 ARCH ST, PHILADELPHIA 3, PA.

RITTENHOUSE 6-0930 - NITE-BARING 2-7581

MIAMI FLORIDA - DETECTIVE - SEE F.L. LOVE

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Nelson Harry B

office 3-9277 n.p.

Res 3-9265 n.p.

natl cylinder jar 65-6860

V New Bedford

Sgt. Amaro

Pgt. O'Connor

NASSAU Co. POL HQ-VIGILANT 4-8485

NECHAMKIN, ALEX

GRAND STREET BOYS CLUB - NEW ROCHELLE ?

NEVADA, RENO

RICE, K.T. - NEVADA DET. AGENCY
239 NO. VIRGINIA ST., RENO.
DAY TEL: - 7513 - NITE TEL: - 7171

MORGAN, EMERY A. - 412 E. TAYLOR ST. -
TEL: RENO 7076 - GEO. EARL - OPERATING
UNDER CITY COUNCIL KNOWN AS INVESTIGATORS.

NEWARK, N.J.

MCNALLY, THOS. J. - 32 SO. MUNN AVE, E. ORANGE
ORANGE 4.9875 (17 YRS AS DET. ESSER Co., \$15.00 PER
DAY - CHG.)

NEW JERSEY - MOTOR VEHICLE BUREAU.

TRENTON 2 - 2131 X 232

NEW MARK, CHARLES W.

60 E 42d ST. MU 2-5390 - RM. 1101

1230 PARK AVE. AT 9-7396

137 wagner ave. mamamonech
tel mamamonech 9-5192

NEW PICTURES

1. PRESS ASSN. CI-7-7363 OFF. 50 ROCKEFELLER PL.
2. ACME NEWS PIX-BRY 9-6714 OFF 481-8TH AVE.
3. INT'L NEW PHOTO - MU 2-5708 - 235 E 145TH ST.
4. N.Y. TIMES - LA 4, 1000, EXT. 398.

NEWTON CARL E. - RE 2-4100

RES: MILL BROOK 3261 - MABBETTSVILLE
ROAD, MILL BROOK, N.Y.

Bill St Pauls School Concord New Hampshire
Spring 7-3000 - ext 156

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NEW YORK CITY

CRONIN, CAPT. JOHN - PVT. OFF. TEL. - SPR 7-1316
MAIN OFF. CAG-2000 - RES. TEL. FAIRBANKS 4-5166

CROTTY, THOS. - WAT-9-5574 - SAFETY LOFT
SQUAD. (FRIEND OF EDDIE MELCHEN)

DE ROSA, STEVE. (SGT.) - 137 E 53ST - PAA-94642

DICKSTEIN, LOU. (DEPUTY SHERIFF) - SEOG 3-4584

DONATO, DOMINICK RES. BEACHVIEW 2-6986 -
1460-71ST. BKLYN 28, NY. OFF. SPRING 7-4944
(FRIEND OF EDDIE MELCHEN)

FARRELL, LT. ED. RES. TEL. SHORE ROAD. 8-2250
TEL. CAG-2000 - HOMICIDE BUREAU.

GREENE, ALLAN (DEPUTY SHERIFF)
RES. TEL. WAD. 7-1286

HAND, ERNEST H. UNITED PARCEL SERVICE
331 E 38TH ST - LEX 2-5100 X 376
230 E 71ST - BUT 8-9864

N.Y. TIMES (PICTURES)
RALPH NICKERSON - LA 4-1000 EXT 398

MOONAN, LT. MARTIN A.
924 WEST END AVE., APT. 6B - AL 2-8091
JANAL ST., RM. 2100 - DO 9-0346

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O'CONNELL, J. HARLIN

WO 4-5230 RES. TEL. AT 9-9206
Newport 2213 W
WO 4-5230

O'GRADY, DOROTHY 395 Peascham
Rye, N.Y.

3407 DE KALB AVE, BRONX
O'LINVILLE 2-0271 - RYE 7-2187

Ortuary of 2-1526 Warren 022 5-4100

ONGLEY, D. J. Port Jervis 8-4184R

RES. MAYFAIR 1780 OFF ADELAIDE 0323-TORONTO.

OSTERTAG, ROBT. A.

BIRTH 1580 E 9TH ST. BKNY - DEWEY 9-1253
HAN 2-6900 X 589

Own Phone at Same address Nightingale 5-9615

OWENS

OWENS GEORGE M.

C/O MERRILL STEVENS, 644 E. BAY ST, JACKSONVILLE
FLA. RES. 1531 SILVER ST. JACKSONVILLE 5-8128
WIFE'S RES. 615 OHIO AVE, LIVE OAK, FLA.

1251 Boulevard

Ohman Ernest 145 W 8th TR 4-7091

C/O Rubin TR 4-9281

Car of Mr 3/48 has address in

124 Graham Bldg Jacksonville

TR 5-2055
TR 5-2055

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Palmaro off Bo 9-3372 1 So W
Res Tel Templeton 8-7326 15 E 61

Pierson Clint L La Natl Bank Bldg
off 3-7455
Res 3-1994
Palma for A
Feb 7-8/20
42 Richmond St. N.Y.
288-4772

Petrone Richard
41-31 69th Woodlawn
Pittsburg Penna

Mercer HA 324 Trick Bldg
also Mr Spurrier
Piper M A Tel 6309

Perkins Paul D
116 North Fourth St
Tel 2-5581

Peterson W C Leoria 4-0563

Tel 7722 Hall for
Beck D.M. Corner Hotel
C/O Mrs of Al Smith (2-3461)
111 North East 9th Ave #37
Sunderdale
Call 7722

PAINTER, GEORGE - RES. 41 GROVE ST, SAYVILLE, L.I.
TEL: SAYVILLE 1404 OR 367 W. 35 ST APT 4 CH 4-0781
OFF: CHAS. J. LANE CO. HOP 41 MURRAY ST. EATS
LUNCH - W 2-9729 - OFF TEL: BE 3-4100 - MRS. PAINTER
OFF. TEL - LO 4-3500 Chas Lane Co BE 3-4100

PALM BEACH, FLA.

LARGE, DET. HOMER - ONLY MAN IN PLAIN CLOTHES
IN PALM BEACH, POLICE DEPT. - POLICE HEADQUARTERS
TEL: P.B. 7141 - RES: P.B. 6054.

PALMIERI, EDMUND - 515 MAD. AVE.
PL 9-1077 RES. AT 9-0339.
2410

PAPAZIAN, OSCAR - 1810 WASH. AVE, 13 RONX
TR 8-1106 (UNCLE IS HARRY INTAIA - 1827 WASH. AV, LU 3-0257)

PARMET, ADA - WA 4-4500 - RES. 125 BRIGHTON
11 TH ST, APT 5C - TEL: 4-9334
off 3404-4th
Blanchard 3-2204

PARSCH, EUNICE B - 5707 DREXEL AVE CHICAGO 37,
TEL: MIDWAY 32189 - BILL'S OFF. 506 N. Franklin
BLVD. BILL'S OFF TEL: FRANKLIN 6400

~~antonia 2-7500 1282~~
imice 2-7500 1282
PATINO, MRS. CHRISTINA

SUITE 1614 SAVOY PLAZA - PVT. TEL: EL 5-3516 OR
VO 5-2600

PATRICK, JOSEPH A.
TRAFFIC REP. UNITED AIR LINES.

PECK, DAVID W. - RES. SHARON, CONN.
TEL. CONN. 5-5517
RES: N.Y. 863 PARK AV, BU 8-8443
off 2-5517

PEDERSEN, BERNHARD (J. EDW. JONES)
722 JEFFERSON AVE, TEL: MAMARONECK 2113

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PEDERSEN, RICHARD - RES: 108 E 31ST - MU 5-2155

PENFIELD, TED - EL 5-8910-12-30 OR 8911 (PAY STATIONS)
C/O JOHN SMITH - APT B3 - 3409-83 ST, JACKSON HEIGHTS.

PENN. STATION:

MR. DUNSTON - PE 6-6000 X 2297 - DURNING
WINDOW 17 - SAME EXTENSION - (FRIENDS OF BOB HUNT)
DUNSTON'S HOME - 511 W. 235 ST. KINGS BRIDGE 6-2510.

HUNT, BOB - RES: HEMPSTEAD 7217 AT 78
JACKSON AVE, HEMPSTEAD GARDENS - GRILL
ROCKVILLE CENTER 6-2967 - HIS FRIENDS AT
PENN. STATION ARE - W. J. O'CONNOR,
TEITELBAUM, MISSKLEIN, CHARLIE HERMAN
AND DOROTHY WEEKS.

PERRINO, JOE

HAV 4-2618 (NEXT DOOR)
9708 - 25TH AVE., E. ELMHURST.

PETERS, JOE

LYNN BROOK 7632 R - 52 WALL ST, WH 4-0200
Phail Herbert H. Woods Lane East Hampton 872 J

PHILADELPHIA, PA.

MC'NULTY, GEO. - 1701 ARCH ST, PHILA 3, PA.
RITTENHOUSE 6-0930 NITE: BARKING 2-7581

ROSS, SAM - 1701 WALNUT ST, PHILA. PA.

RITTENHOUSE 6-2134 - RES: 5744 WOODCREST AVE,
TEL: GREENWOOD 3-4843

SCATCHARD, GEORGE - HARRISON BLDG., PHILA. PA.
RITTENHOUSE 9222 (LAWYER + INVESTIGATOR -
B.B.E. KNOWS - HIGH PRICED)

PIEL, WILLIAM JR.

HA 2-8100 - RES: SHARON - CONN 115

POYLL, NICK - CHEMICAL BANK.

PROCTOR, DOROTHY - 46 E 61ST, TEMP. 8-7728

PSYCHIATRIC

AMERICAN PSY. ASSN. - CI 5-4698

NAT'L ASSN. OF MENTAL NYC. - CI 5-8000

PURCELL, ROBT. W.

MISS KOWALS - SEC. ROOM 4500

CHRYSLER BLDG. - OFF. TEL. MU 4-7880

3600 TERMINAL TOWER, CLEVELAND 13, OHIO.

Res. Cleveland Pondering 4874
Miss Kowals Richman 9-6532
Shippa Mrs. Carla

130 E 62nd St

Templeton 8-7183

NICK PANTELAS - 142 MAIN ST.
NASHUA, NEW HAMPSHIRE - TEL: 4766

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Gurk Geraldine

Freeport 8-0951R

17 Hotchkiss Place - ~~Freeport~~ R.I.

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MENTAL-

NATL. COMM. OF MENTAL HYGIENE - CI-5-8000
AMERICAN PSYCHIATRI ASSN. - CI-5-4698

MENZIE, HELEN (MANDEL)

135 W 225THST, - LO 2-8519

MERSELLES, MRS. HELEN

DAUGHTER OF BURT CRAIG, DETROIT, MICH.

MILLER, JOSEPH G. - 501-5TH AVE - MU 7-6755

~~WILSON~~ KINGS BRIDGE 9-7350 - 5414 ARLINGTON AV, RIVERDALE.

~~Miss Behrman~~ Busch 2-1633

MILLER, PAUL - RH 4-7458

MIXTER, MRS. FLORENCE KILPATRICK - 530 PARK AVE.

RH 4-7278 OR RE 7-0090 - LANE PLACID, N.Y.

MONSON, GEORGE - 155 E 52 ST - APT. A-70 - EL 5-7600

Rm. 2157 - 25 BROADWAY - HA 2-6300

MONTGOMERY, L.M. - 1497 BELMONT AVE, COLUMBUS, OHIO

MONTREAL, CANADA.

MURRAY, SGT. LEO - 7555 LA JEUNEFLE VILLERAY,

MONTREAL - CALUMET 8882 - OFF. HARBOUR 7171

MORAN KIM 4.E.64 Report 7-3609 Busch 5995

MOORE, H.R. - MURRAY, N.J. - OFF. CH 3-1000 - RES. -

Box 1, FAR HILLS, N.J. - PAT & MIKE ARE DAUGHTERS - FLORENCE
WIFE IN HOSPITAL SINCE 1938.

MOORE, LILLIAN - CAZ MOORE NIECE AT ROYAL YORK

RES: LEAMINGTON APTS. 155 BALMORAL AVE, TORONTO, CANADA

MORFA, RAY J. - N.Y. RES. 136 E 64TH ST, - RE 4-3618

MORGAN, EMERY A. - 412 E. TAYLOR ST, RENO, NEVADA

TE. 7076 - GEORGE EARL - OPERATING UNDER CITY &
COUNCIL KNOWN AS INVESTIGATORS.

MOTOR VEHICLE BUREAU.

SAM COHEN, JOHN VILA OR VIOLA DELL

RECOMMENDED BY BILL REGAN ON 6/5/45

MOTRUK, GABRIEL (MASSEUR) ASTORIA 8-7230

MUNROE, MRS. ETHEL (WIDOW OF GEO. F. + SONDICK)

520 WILCOX, WAUPUN, WIS.

MURDOCK, MARGARET - 102-51-43 AVE - FORREST HILLS.

HA 6-6302

MURRAY, SGT. LEO - CALUMET 8882

7555 LA JEUNEFLE VILLERAY, MONTREAL
OFF. HARBOUR 7171

Menzie Paul

328 Marion Ave

Allen Ellgren 2nd

✓ Charlie Moran

Ax 7-6020

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~~For~~ Ringrose Ha 2-1145

Ruttan ^{Proffice} ~~Mur~~ 3-7534
Nite ~~line~~ 3-1009

Rabinowitz alvin L
Esplanade 7 5422

Ravold walter

Res Virginia 8-2928
off Jamaica 3-5611

Reich Emil

~~Reich~~ 217 Bury Ba 7-9318
3-5889

E. - Rabin

✓ 35 ~~St~~ ~~NO~~ ~~St~~,
BA-VN RE. HC Hosp

RAVOLD, WALTER - DAVID K. TUTTLE AGENCY,
MONTAGUE ST, BKLYN - MAIN 4-5712 - RES:
PINE TREE ROAD, HUNTINGTON.

REACH, GUS - POL. OFF. AT BUR. OF MOTOR VEHICLES
CA 6-2000 AND ASK FOR HIM.

REBAY, BARONESS HILLA VON
FAIRFIELD, CONN. 9-0572 - FAIRFIELD (SERVANTS) 9-2758
OFF. - CI 6-7127 - PL 5-1087 - CI 6-7128.

REED, ROBT. L. - 570 LEX AVE - PL 3-0630.

RENO, NEVADA
MORGAN, EMERY A. } 412 E. TAYLOR ST, TEL
EARL, GEORGE } 7076 - RENO, NEVADA.
OPERATING UNDER CITY COUNCIL - KNOWN
AS INVESTIGATORS.

RICE, K.T. (NEVADA DET. AGENCY) 239 No.
VIRGINIA ST, RENO - DAY-TEL: 7513 - NITE-TEL: 7171

REYNOLDS, IRMA SHOUP (MRS. B.T.)
AUBURNDALE, FLA. - TEL: WINTER HAVEN 2-4385
SON - SAM GORDON AT CHOCATE - DAUGHTER - ELEANOR.

REYNOLDS, LEWIS B. (SOPHIE)
OFF: MU 2-0606 42 W. 44 ST, RES: ILL. 9-7237

REYNOLDS, TOOTS & CLINT ROEDER
715 WILLOW GROVE AVE, GLENSIDE, PA

RICE, K.T.
NEVADA DET. AGENCY - 239 No. VIRGINIA ST,
RENO - DAY-TEL: 7513 - NITE-TEL: 7171

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RICE, MATTHEW G. - 466 W. 166 WASH. HIGTS. 7-7042
NOW WEIGHTS + MEASURES IN SPR. - CAN GET INTO STORES.

RICHARDSON, DAVE
27 WILLIAM ST, HA 2-8894 - RES: 405 E 54 ST, EL 5-2894

RICHARDSON, GERARD - 1146 - 2ND AVE.
TEMPLETON 8-8169 - C/O BRUCE, 32 E 57TH ST. PL 8-1058
Office 3-6-0719 ~~2-8-8169~~

RICHER, D. E. - IN CHARGE OF FOREIGN OFF. AMN.
EXP. CO. CATCHING CROOKS - 65 BWAY - WH 4-2000
Post Box PL 3-8314 C/O Betty Sanford 65 E 55
Rm 381 Park Ave. PL 5-9892

RIVERA, ADA B.
209 N. PROSPECT, BERGEN FIELD, N.J.
DUMONT 4-3614 J. OFF. 60 WALL ST. Rm 1015
Room 7202 8100 5 1872 2164 4-8993
~~PL 5-7423 2164 4-8993~~

ROARK, ART - 2 BWAY - BO 9-4453

ROBERT, FRED T. - 730 N.E. 90 ST. MIAMI 38, FLA.
OR P.O. BOX 312, DANIA, FLA. TEL: 7-9332.

ROGERS, GEO. W. (SEC. Y.M.C.A.)
46 CHARLES ST, MALVERN, L.I.
TEL: LYNNBROOK 7119 - OFF. BEDFORD
Y.M.C.A. - TEL: MAIN 2-1100

ROGERS, SEDGWICKS - SISTERS - WHITE PLAINS 8-2524
2524 - OFF. NEW ROCHELLE 6-5822

~~ROMANO, JACQUES~~ (BORN 1905)
~~101 MAIDEN LANE~~

ROMANO, JACQUES - 18 W. 70 ST EN 2-4969
OFF. 101 MAIDEN LANE - BO 9-7483
(MAGICIAN FRIEND OF DR. GINSBER.)

ROME, GORDON (SCOTTY)
RES: 32 VARNUM ST, WASH. D.C.

also with Robert Zeffinger
ROSEN, DR. M. J. (SPECIALIST) PL 9-7979
3760 - 88TH ST, JACKSON HEIGHTS - NEWTON 9-2040
HOWEVER HE'S AT NEW ADD. IN QUEENS THROGH
SAME TEL. NO. - DR. LEON LURIA, 319 W. 18TH ST.
KNOWS HIM + REFERS PATIENTS TO HIM.

ROSS, SAM - PHILA. INVESTIGATOR
TEL: RITTENHOUSE 6-2134 - 1741 WALNUT ST.
PHILA. PA., RES: 5744 WOODCREST AV. - TEL.
GREENWOOD 3-4843

Post Box 705 2164 4-8993 Rm 381 Park PL 5-9892
also C/O Betty Sanford 65 E 55 PL 3-8314

ROWE, PAUL - 2035 HYPERION AVE, L.A., CALIF.
HAS ALL SOUND RADIO + RECORDING EQUIP. - ALSO
A PLASTIC PHANT.

RYAN, CAROLINE - 770 PARK AVE, RE 4-0720
FREDERICK J. HAMMES - SEC. Smithson 108 PM
occupies house of Dr. Stannum on Gen Lane

RYAN, CLENDENIN J. - 515 MAD. AVE.
EL 5-4674 - FRED HEIDENSON + JOS. ZOCH.
RES. 2164 4-8993 1308-7459 - COUNTRY
RES. - HACKETTSTOWN, N.J. 496
32 E 70th St Rm 8-7459 (TR 9-8723)
Club 2164 4-8993 31669
RYAN, GEORGE F. - NEWPORT R.I. OR BROOK CLUB
N.Y.C. - 78 E 13 ST - 1308-8195
200 E 37th St 2-5363

RYAN, RICHARD + HOPIE 2164 4-8993
133 E 64TH ST, APT. 12A - RE 7-3570
PVT. NO. AT HOTEL: PL 8-0373
CHATHAM HOTEL - TRAINER
HORATIO LURO - FIELDSTONE 3-2662.
Saratoga 3420

Strauss Martin 4506 Empire State
Lo 3 6763 or 4 Res Re 7-3212

Sprackling Mrs ^{Res} at 9-8715
1112 Park Ave

Shevlin Lieut J F
Watkins 9-3420
Res " 9-0763

Stringile Dominick
201 Bay 22nd St
Bo 9-2710 - Seaman's Hat
25 South St

Saver Tom La 4-9400

{Swaine 3005 Flamingo Drive}
Miami Beach 5-2530.

Schultz Wm
Office promig. Nat. Sec
70 Columbus Ave Ci 6-4165
Res 5016 72nd Ave Brooklyn
Res Tel Gedney 6-6713
(listed for Max Schultz)

SABISKY, LESTER - 81-83 WATSON AV, NEWARK, NJ.

BIGELOW 8-~~000~~ ST-UNLISTED- MOTHER - 1415 ~~REAR~~ MOTT
AVE, FAR ROCKAWAY - TEL: FAR ROCKAWAY 7-4176
617- My Slurp 152 E 35th Ave 4-9135

ST. LOUIS, MO. Bug 8-4732

HOAGLAND, CAPT. ELIAS W. - 4TH PET. POLICE STATION
TEL CENTRAL 5039 - RES 5764 Goodfellow Av - EVERGREEN 4983

SAKELE, GEORGE - NATIVE CARRIBEAN SHOP
106 BISCAYNE BLVD. MIAMI BEACH, FLORIDA

SANTE FE RY. - HOLLYWOOD OFF.: SEE HYLAND

SAXE, WM. V. - 44 WALL ST. - WH 4-5160
232 E. 61ST - REG. 4-7430

SAYRE, MRS. LYDAM. - 42 PARSONS, COLUMBUS,
OHIO, MAIN 3643 - *Frank Sayre*

SCATCHARD, GEO. - HARRISON 13106. PHILA, PA.
RITTENHOUSE 9222 - LAWYER + INVESTIGATOR - B.B.E
KNOWS. HIGH PRICES

SCHACHT, PAUL (EX-OF DRAKE CHIC.)
MIGHT BE ABLE TO DOPE AT GOTHAM -
IN ARIZONA - SEE MEYER CASE.

SCHAEFFER, HENRY - HARTFORD ACC. - 110 WM. ST.
Lo 7-7171 - RES: 23-7TH AVE, CH 3-5331

Sharon Schaeffer Schenck 2721

SCHATZEL - HARRY - 259 OAKWOOD ST, SHEFFIELD 1400
HAMMOND, IND. 3027 - EX SECRET SERVICE.

SCHINASI, RUBY - WALDORF TOWERS - ELB. 5-0502 - 0503
Sharon

SCHMAHL, HORACE - 181 No. CORONA AVE.,
VALLEY STREAM, LI. - SC 4-8280 - VI 7-7788
PVT OFF. WH 3-0679 - RES: VALLEY STREAM 5-8662
504-1795 - 62 Wm Res 507

SCHNABEL, ROSARIO - 253 W 24ST - LO 5-9697
AFTER 10 AM. - SEND TELEGRAM - OF: MU 7-6574
430 Essex House, NEWARK.

571-54
Rm 604

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SCHWERDFAGER, E.E. - RES. TEL: OTTAWA 4-6684
OFF. TEL: OTTAWA 3-9361 - H88. MATTATALL'S ASST.
AT OTTAWA CR. EXCH., OTTAWA, CANADA.

SEATTLE, WASH.: CLAIRBORNE + EARLE HENRY -
OFF: 215 LYON BLVD., SEATTLE 4. ELIOT 7371 -
EARLE HENRY - RES. TEL: - RAINIER 7572

KIMBER, HERBERT - CHIEF OF POLICE.
MAIN 18105.

SESSEN, LYMAN - OWN. OFF: 52 WM. ST. - HA 2-7756
RES: 417 RIVERSIDE DRIVE - ATL. HG. DS. - 989

SHAYS, J.R. - VICTOR HANDLES SPEEDY DEVEL. OF FILMS.

SHEARER, WM. B. - 27 W. 67 (APT. MARY HOWARD)
TR 7-0401 Hotel *Sumpter* Tr 7-2200

SHERBIN, SERGE (+PETEY) 25 BEAVER ST. RM. 1111

WH 4-9207 - VALLEY STREAM 5-8771 W
223 *Cornwall ave. Valley Stream* TE 6-5438

SHIELDS, ALEX - 15 E 60 ST - REG 4-1862
Shields 15 E 60 St. Manhattan 11462

SHIRK, DAN (ATTY) - 170 BWAY - CO 7-0602
Shirk 170 Bway - Co 7-0331

Shirk 170 Bway - Co 7-0331

SIBLEY, GEO - PVT. OFF. PL 3-2921 - REG 4-6089 - RES
Sibley 170 Bway - Co 7-0331

SKLAREY, LOUIS - DETECT NEWARK -

RES: WAVERLY 3-1932 (KNOWS RACKET MEN)

SLATER, ALEX - RM. 1217 19 W 44 ST - MU 2-0031
ST. WESTERN - GR 3-1807 - RES 898 W. END AVE.

UNIV. 4-2773. *SL 150-150*
SMALL, S *mouthly B. Bu 8-8119*

SMEDLEY, WM. - 254 E 60 ST. N. Y 22 - PL 5-0639

SMITH, CLIFFORD R. J. - 134 BRAEMAR AVE.
TORONTO, CAN. RES: MAYFAIR 4031 (ELGIN 4276)

Room 6-9200 K 1577 105-5400 Rm 1018
Room 480 - 25 KING ST. W. TORONTO - ELGIN 4276

SMITH, JAY H. - 4 RIVER ST., OCEANSIDE, L.I.
ROCKVILLE CENTER 6-8439 W

SNYDER, LT. CHAS. R. - 104 HOWARD AVE.

PASSAIC 2-5726

~~Soussloff, Gregory~~ 33 R. ~~W. 83 ST. TR 7-8442~~

Soussloff, GREGORY - 317 W. 83 ST. - TR 7-8442

SPEAKER, CHAS. R. - 1775 BWAY - RM. 754 - CI-5-5355
WASH. D.C. - OFF. - DISTRICT 2345

SPEARER, RUTH - MOTHER - 1975 HONEYWELL AVE., APT. 3B.
DA 9-2282 - 2240 Gr. CONCOURSE, BX - APT. 182 - FOR. 4-9032

Don't 1922 150 Grand Ave Bway 1018
SPOLENSKY, JAKE (ANTI-SEMITISM DIES COMMITTEE)

RI 49-3616 - 924 W. END AVE., (COR. 105 ST) APT. 92. OFF: 39 BWAY -
WH 3-0887 - % GEO. MINTZER - VO 2-0983 - 110 WM. ST.

STANLEY, HILDEBRANT - NO 2-9192 - RES: 562 W. 193 ST.

STARR, MRS. FRANCES (NURSE) 63 E. END AVE., APT. 5N - RM 4-1889

STERN, HERBERT - 130 W 42 ST, LO. 4 3840 - RES: OLD COLONY LA.
GT. NECK. 3909

STIENECKER, MAUDE - CHERRY 5306 - 930 N. TACOMA AVE.
INDIANAPOLIS. *Sullivan 3rd 497K (Bry)*

Stieneker 1525 St Rye PR 9-5348
SULLIVAN, JAMES J. - ALIEN PROPERTY - CO 7-8603 - RES.:

Mother 9-5084
Sullivan 1525 St Rye PR 9-5348

SUNDAY, GLADYS - 411 E. 78TH ST. APT. 3B - REGENT 4-8153
Sunday 411 E 78th St APT 3B

SWANSON, CARL N. (X HOUSE OFFICER LEX. HOTEL) RES: *Swanson 1434*

CO L. 5-9517 - 421 W. 57 ST.
Swanson 1434

SWATZBURG, SADIE - 205 E 82 ST - RE 4-7903 - LOAT-3600 SPIEL SVEN

SWEDEN: **TURISTEN**
VIDINGHOFF, MRS. CARRIE - HOTEL ~~TORONTO~~ - DROTNINGGATAN 77
(TEL: STOCKHOLM #1132967)

VIDINGHOFF, GOSTA + DORIS + BABY STORN
TANDLAKAREN - FREDSGATAN 13, OREBORG, SWEDEN.

VINDAHL, INGEBORG + UNCLE AXEL
RUDBECKSGATAN 29A - OREBORG, SWEDEN.

Vindahl 13 Fredsgatan
VINDAHL, VIKTOR - WEST GUNDAUINGA

Vindahl 13 Fredsgatan
VINDAHL, VIKTOR - WEST GUNDAUINGA

SWEDEN:

BROADY, DONALD O + DONALD JR. (MARRIED-ULLA ERICSON)
10 ST LARSGATAN LINKOPING.

SWEENEY, HENRY W.

425 RIVERSIDE DR - MO 2-0794-52 WALL ST, BI 4-8220
WASH. OFF.: NATIONAL 3060-SECURITIES BLDG.
729 - 1551 N.W., WASH. D.C.

Southworth A R

94 Broth and Englund 3-1285

Guz Jr Summit 6-4583 M

Joyon W P 5-7 Minetta St
Gr 7-0028

Judy Shaf Bu 8-1823 (Parents)
Shaf's apt Rh 4-8632
Sharon Conn / 05

Thiele Albert E
120 Broadway

TAYLOR, ROSS, MARCELLA, JACK + TILL
EL CAMPO, TEXAS.

TESSLER, MIKE - MISS GANUM - ASH 4-0540 - OL 5-6111
NORTHPORT 703

THAYER, WALTER N. 3RD - 52 WALL ST, WH 4-6970 OR
HA 2-6531 - RES: BU 8-8394 Res 30 East 72nd St

THEOBALD, PHYLLIS L. - 41 W 97 ST - AC 2-6879

THOMPSON, ALEXIS - 2 E 67 ST - DOWNSTAIRS - RE 7-2240
BEDROOM - RE 7-2126 - OFF: AT GARDEN - 307 W 49TH ST,
CI 5-4166 - SEC. 15. EVELYN CRAMER, 91 GRANT ST,
YONKERS, BEVERLY 7-6045.

TILL, ROBERT - NOW AT HIS OWN - NEW HAMPSHIRE
HOTEL (CAROL HOUSE)
Inland Reg 7-4204

TORONTO, CANADA - (INVESTIGATOR)
NURSEY, D. J. - 166 COLEMAN AV, GROVER 5563

TRACY, T. H. - MU 5-3510

TRAVIS, ALBERT CHESTER - SUM. RES: BELLPORT 429
7 GRACIE SQ - RH 4-7939.

TROM, JOHN - 131 DEBEVOISE ST, APT 8B - B'LYN.
HEARN'S LIQUOR STORE - GR 5-5550

Traynor Westfield 2-6985

TUCKER, MARYAN - RES: 432 E 87TH ST,
ATWATER 9-2379.

TOOHY, WALTER J. - CLEVELAND - PRT. MAIN 6327
CLEVELAND GEN. OFF: CHERRY 5340 - 2100 TERMINAL
TOWER BLDG., CLEVELAND - RES: 7100 So. SHORE DRIVE
PM. 508 - R MRS. T'S MOTHER'S APT. 713

T
U
V

TUCHY, WALTER J. CONT'D

CHICAGO - RES: TEL: - SOUTH SHORE 8700
CHICAGO OFF: - C/O CTO OFFICE OR C/O GLOBE
COAL: - HARRISON 2881 in CHICAGO. PARK LANE
HOTEL IN N.Y.C.

TUNNEY, GENE - 800 CHRYSLER BLDG
RES: STAMFORD, CONN.

Lizabeth Prescott 8-6957
Clifton N.J.
120 Van Rensselaer

VLBRICH, DON - LAKEWOOD EMPLOYMENT AGENCY

744 BROAD ST., NEWARK, N.J. MARKET 2-0915

DON HIMSELF: ~~MANHATTAN MOTOR CHASSIS CO~~

~~CL 6-8500 - 1775 BROADWAY, N.Y.C.~~

Room 900 120 Liberty W02-8867
4192

UNDERHILL, E.M. - BKLYN RES: TEL: BUCK 2-6835

COUNTRY RES: TEL: MANASQUAN, N.J.!

UNITED AIRLINES: - MU 2-7300

JOSEPH A. PATRICK - TRAFFIC REP.

SEC. MISS CHAMBERS - CAN HANDLE PROBLEMS

U
V
V

VANDERBILT, MOLLIE

PT. WASHINGTON 760 OR 761

MRS. E.T. ASTOR APT. IN N.Y.C.

VAN SCYLORNE, JOHN - RES: 137-91 HAVEN.

VIZITELLY, JULIETTE

103 N. MAIN ST., WATERBURY.

VLAMIDES, ANTHONY & AMYHIA

1347 N. DEARBORN PKWY APT. 607
CHICAGO 10, ILL. DE L. 6820

VOGLIOTTI, GABRIEL - OFF: LA 4-7650

CABIN RIDGE R.F.D. #1, MT. KISCO

TEL: BRIAR CLIFF 1712 J.

VROHMANS, GERHARDT H.

RITZ CARLTON HOTEL - PL 3-4600 - RES:

3725-51 ST, JACKSON HILLS, L.I. - NEWTOWN. 9-1837

Wilhelma Juliette
Ston Tel 4-7074

Res Tel 5-8676

Po Box 1613 Waterbury Conn

Warburg EMM
111 E 76th St
Res 7-12130

Res Kennedy 2-8931

off Market 3-3506

Res apt 12 K garden apt
N. Washington

Wepfer Lola Carrall age 25
Sister of Lola Trantman of Plains

Brookkeeper for jewelry by Pandora
32nd & 5th Ave 9-2781

Res Mrs. Wm. Wepfer 993 Lafayette Ave Bklyn

Rose V. Angeli Williams

1637 Atlantic Ave

Bklyn NY

Res 8-3383 45 Lefferts Ave

Eng 2-1076

Weiner Herbert

Bait Pond Main 4-881

with Max Mitnick 131 Schermerhorn
St Brooklyn 2 NY

Wiletrump E & W 122 71st - Res 6528

William Christine
58 E 80 apt 2A
Tel Bx 8-2113
apt 5A Res 7-4356

WALL, WALTER - DI 4-5800 - RES. CLIFFSIDE 6-1470

WALSH, GEO. (PHOTOSTATS) & EX. PHOTO PRINT Co. CHANIN BLDG.,
MU-5-4767 - RES 603 ADAMS ST, HOBOKEN, N.J. - HOBOKEN 4-5235

WARBURTON, WM. JOHN, CDR. - PL 8-0084 - OFF: RE 2-9100 X 210
OR 744 - RES 2 SUTTON PL.

WARTES, LLOYD - EMPIRE BLDG., SPOKANE - TEL: MAIN 1289

WASH. D.C. - SGT. FRED C. LANE - ATLANTIC 1117 -
OFF: TEL: REPUBLIC 6700 X 72158

WEILE, HANS (MASSEUR) 311 W 87 ST - RECOMMENDED BY MA BRUEY

WEINSTEIN, ABE - RE 7-3628 - 226 E 70th St - (2nd & 3rd Aves)
BUS. TEL: 403-6222 - 11 W 42 ST, RM. 1415 - FATHER: TI 2-3574.

WEIR, MILTON N. - 120 BWAY - RM. 3213 - BA 7-0415
RES: 380 EAST SHORE ROAD - GREAT NECK 2946.

WEITSMAN, JAMES MEIRVUS - 29 BWAY - WM 3-4830 - RES.:-
NAVARRE 8-9190 - Son - DWYER 9-2164 - TRY - BRO. NAVARRE 8-4739.

WEST, CHAS. F. (X OF OHIO) HOTEL SUL GRAVE, N.Y.C. HOTEL WASH.
IN WASH. D.C. (FRIEND OF CHARLIE SAHO GIAN)

WHEELER, CHAS. H. - RE 7-0280 - RH 4-3043.

WHITMAN, MRS. THELMA CUDLIPP - 455 E. 57 ST. - PL 5-6246.

WIDD, EDDYTHE (HUSB. DAN IS DECEASED) 1475 BWAY. BRY 9-3941
RES. TEL: BRY 5-5800 - HOTEL MIDTOWN - 10 E 61 ST.

WIEDLICH, CLIFF - 43 CEDAR ST, WM 3-1533 - RES.
115 E 89 ST, AT 9-3266 - FATHER: 13 BRIDGEPORT. S. 3839

WILDERMUTH, E. F. W. - 60 E 42 ST - MU 2-5005 - RES: JAMAICA 6200

WILLI, ED. - 55 LIBERTY ST - Co 7-5353 OR DI 4-4366 +
ASK FOR MR. BONTEMPO THERE AT GIBBS & CO. X.

WILLI, GEO. - CH 3-4753

WILLIAMS, BILL - DRILLING SUPT.
TEL. No. BATON ROUGE - 3-2574

WILLIAMS, C. D. - BREED ABBOT-TEL No. OR Co. 7-8660

V.P. AMER. LOCOMOTIVE, 30 CHURCH - W. 4-4800

WILLIAMS, ROSEMARY - 17 W 70 ST - EN 2-7696
Tel. 62-941

WILLIS, MR. FRANCIS T. (WIFE IS MRS. A. WILLIS) TRADES
THRU HALLADAY & Co - TOMS RIVER 8-0153 Mitchell 42-5628

WIRTH, VICTOR - DEPT. OF LABOR WORKMEN'S COMP. DEPT.
80 CENTER ST. - Co 7-9800

WITMAN, FRED (LOS ANGELES INVEST.) 3856 W. 27TH ST., L.A. 16.
Tel. 6512

WOLF, DR. IRVING (SPECIALIST) W 81 ST. - P+S. (1905-06)

WOLL COTT, TED - OFF. MU 2-0110 - RES. MU 6-6741 - STILLWELL 4-4274

WOODWARD, MARY TRASK - 251 EL BRAVA, PALM BEACH,
FLA - PATTERSON 32-43-6993.

WOODY, MRS. FRANCIS WILBUR STARR - RH 4-1889 (D. RYAN'S NURSE)

WOOLLEY, A. T. - OFF. 180 BWAY, LONG BRANCH, N.J. OFF. TEL -
LONG BRANCH 448 - RES. LONG BRANCH - 2650 J.

WRIGHT, LOYD (ANITA GARRET, SEC.) 111 W. 71 ST. L.A. CAL.
MADISON 6-1291 - RES. 336 So. HUDSON, - WYOMING 5584.

WRIGHT, SAM - 914 - 2ND - SEATTLE WASH - MAIN 1367

WYNN, BOB - W 42 - 3600

Camp. Long. Tel. 6256

→ WITMAN, FRED - OFF: ROOM 413-426 SOUTH
SPRING ST., LOS ANGELES - TEL: MUTUAL 9419
EXCHANGE (24 HOUR SERVICE) 623 WALTER P.
STORY BLDG., LOS ANGELES; MADISON 2183
RES: P.O. Box 381, SANTA FE SPRINGS,
CALIF. TEL: WHITTIER 429-144
TEL. IN ORDER ABOVE - MAIL SHOULD
COME TO THE OFFICE.

YE OLDE BOAT - 90 GREENWICH ST - B6-9-9776

YOUNG, ROBERT R. - NEWPORT 4121 - PVT. TEL
NEWPORT 6149 - FAIR HOLME, OCHRE POINT, NEWPORT, R.I.
N.Y. 5017 CHRYSLER - MU 3-7365 - MU 4-7880 - N.Y.C.

Wich City

5708 M

FM Surge

From Fort, Beach

United States

2320 Hazelton

✓

PT 7-1460

Mary

MAILED
NOV 1911

ZIRIN, BEN - HOTEL PRESIDENT, N.Y.C.

2248 S.W. 18ST., MIAMI - TEL: 4-5542

or Miami 5-1197

ZUTT, DANIEL J + VIRGINIA - RES: 445 LIGHTFOOT RD.,

LOUISVILLE, KY. - RES: TEL: TAYLOR 6128 OR C/O

CENTRAL GLASS CO. - 30ST + BWAY - LOUISVILLE KY -

TEL: SHAWNEE 5000

Zlinkoff Sergei

173 W 78

En 2 - 1201

Zock Joe

Hampshire

14 Wall 10th floor

Rector 2 - 6300

2/24/44

MAIL.

You should submit a closing report regarding this case. Thereafter, you should continue to follow State prosecution and promptly report any pertinent developments to the Bureau as they occur in addition to reporting the final outcome of the State prosecution.

HOOVER

HJM:mrs (4)

EX-125
RECORDED - 50

MAILED 11

JUL 25 1955

COMM - FBI

139-149-51

139-149

2 JUL 27 1955

7/8

AUG 1 1955

dy. _____
57102 Hwy - 5718

AUGUST 29, 1955

AIRTEL

SAC, NEW YORK (139-10)

JOHN G. BROADY; ET AL
UPUC

ReBuairtel 7-25-55 concerning captioned matter.

Advise the Bureau the date of report submitted
by your office and the name of reporting Agent.

HOOVER

139-149

HJM:mrs

(4)

Tolson _____
Boardman _____
Nichols _____
Belmont _____
Harbo _____
Mohr _____
Parsons _____
Rosen _____
Tamm _____
Sizoo _____
Winterrowd _____
Tele. Room _____
Holloman _____
Gandy _____

RECORDED - 11

139-149-54
29 AUG 30 1955

MAILED 2
AUG 29 1955

SEP 1 1955

Assistant Attorney General
Warren Olney III

September 9, 1955

Director, FBI

RECORDED - 15

139-149-53

JOHN G. BROADY, et al
UNAUTHORIZED PUBLICATION
OR USE OF COMMUNICATIONS

Reference is made to our memorandum dated July 15, 1955, concerning captioned matter.

Enclosed is a copy of the report of Special Agent Terence F. McShane made at New York, New York, dated September 1, 1955, concerning captioned matter.

You will be advised of pertinent developments with regard to the State's prosecution of this case pursuant to your previous request.

Enclosure

Bufile 139-149

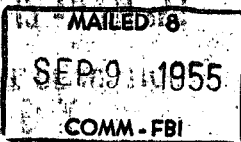
NOTE:

This case involved the New York wire tap set-up discovered in February, 1955. We conducted a preliminary investigation and referred a copy of our report to Mr. Olney. Olney advised we should conduct no further investigation but he stated we should follow the NY State prosecution and keep him advised of developments.

JGL:mrs

(4)

Tolson _____
Boardman _____
Nichols _____
Belmont _____
Harbo _____
Mohr _____
Parsons _____
Rosen _____
Tamm _____
Sizoo _____
Winterrowd _____
Tele. Room _____
Holloman _____
Gandy _____



63 SEP 16 1955

Rosen JGL

FEDERAL BUREAU OF INVESTIGATION

Form No. 1
THIS CASE ORIGINATED AT

NEW YORK

FILE NO.

REPORT MADE AT NEW YORK	DATE WHEN MADE 9/1/55	PERIOD FOR WHICH MADE 8/31;9/1/55	REPORT MADE BY TERENCE F. McSHANE eg
TITLE JOHN G. BROADY, etal			CHARACTER OF CASE UNAUTHORIZED PUBLICATION OR USE OF COMMUNICATIONS

SYNOPSIS OF FACTS:

HAROLD BIRNS, Assistant District Attorney, New York County, advised BROADY indicted for violation of Sections 1423, Subdivision 6 and 552A of NY State Penal Law. BROADY's trial scheduled for 10/3/55.

- C -

DETAILS: On September 1, 1955, HAROLD BIRNS, Assistant District Attorney, New York County, advised that BROADY has been indicted for violation of Section 1423, Subdivision 6, New York State Penal Law, on nine counts of wiretapping, two counts of maintaining a location for wiretapping, and one count of conspiracy to commit wiretapping.

Mr. BIRNS stated that BROADY has also been indicted for violation of Section 552A of the New York State Penal Law on two counts for possession of wiretap instruments.

Mr. BIRNS advised that BROADY's trial is scheduled for October 3, 1955 and that he will keep the Bureau advised of significant developments in this case.

- C -

APPROVED AND FORWARDED: <i>[Signature]</i>	SPECIAL AGENT IN CHARGE	DO NOT WRITE IN THESE SPACES 139-149-55	
COPIES OF THIS REPORT 3 - Bureau (139-149) 2 - New York (139-10)		RECORDED - 15	22 SEP 21 1955

PROPERTY OF FBI—THIS CONFIDENTIAL REPORT AND ITS CONTENTS ARE LOANED TO YOU BY THE FBI AND ARE NOT TO BE DISTRIBUTED OUTSIDE OF AGENCY TO WHICH LOANED.

NY 139-10

ADMINISTRATIVE PAGE

REFERENCE: Report of SA TERENCE F. McSHANE, New York, 7/12/55.

ADMINISTRATIVE PAGE

FD-36

Mr. Tolson	_____
Mr. Boardman	_____
Mr. Nichols	_____
Mr. Belmont	_____
Mr. Harbo	_____
Mr. Mohr	_____
Mr. Parsons	_____
Mr. Rosen	_____
Mr. Tamm	_____
Mr. Sizoo	_____
Mr. Winterrowd	_____
Tele. Room	_____
Mr. Holloman	_____
Miss Gandy	_____

FEDERAL BUREAU OF INVESTIGATION
UNITED STATES DEPARTMENT OF JUSTICE

AIR TEL
 NY, NY 9/1/55

Transmit the following Teletype message to: Bureau
 JOHN G. BROADY, ET AL; UPUC.

ReBuairtel, 8/29/55.

Closing report of SA TERENCE F. MC SHANE, in
 this case, submitted 9/1/55.

KELLY

3-Bureau (139-149) (REGULAR MAIL)

Mr. Rosen

RECORDED - 15 SEP 13 1955

TFM:MXD (#1)
 139-10

Approved

Sent

M Per

Special Agent in Charge

SEP 20 1955

Assistant Attorney General
Warren Olney III

September 27, 1955

Director, FBI

139-149-57
JOHN G. BROADY, ET AL.;
UNAUTHORIZED PUBLICATION OR
USE OF COMMUNICATIONS
(139-149)

RECORDED - 77

EX-121

Reference is made to our memorandum
dated September 9, 1955, concerning captioned matter.

Our New York Office advised that an article
appeared in the "New York Times" dated September 20, 1955,
which revealed that a superseding indictment, including
14 counts of an indictment voted last May, was returned
against John G. Broady on September 19, 1955. The
superseding indictment of 20 counts includes six new
counts for wire tapping a business firm and five
individuals.

Broady is charged with tapping the telephone
line of the Bristol Myers Company, 630 Fifth Avenue,
New York, New York; the telephone line of [redacted]

[redacted]; the
telephone line of Thomas Tracy, a private detective; the
telephone line of George Gallowhur, a chemical manu-
facturer; the telephone line of Kyle MacDonnell, a singer;
and the telephone line of Alfred M. Steele of the Pepsi
Cola Company.

The superseding indictment includes one count
of conspiracy, 15 counts of illegal wire tapping and
four counts of unlawful possession of wire tap equipment
and unlawful use of premises for wire tapping.

Broady pleaded not guilty to the new true bill.

The "New York Times" article indicates that
Broady would probably be brought to trial in the latter
part of October, 1955. The article points out that
the tapping of the Bristol Myers telephone line was
allegedly done from 303 East 53rd Street, New York,
New York, and the other wire tapping was done from
360 East 55th Street, New York, New York, which apartment
was leased by Warren B. Shannon, who is also a subject
of this case.

HJM:mam:jft

Tolson _____
Boardman _____
Nichols _____
Belmont _____
Harbo _____
Mohr _____
Parsons _____
Rosen _____
Tamm _____
Sizoo _____
Winterrowd _____
Tele. Room _____
Holloman _____
Gandy _____

52 OCT 3 1955

See note page 2.

b6
b7C

Memorandum to Assistant Attorney General
Warren Olney III

You will be advised of pertinent developments with regard to the State's prosecution of this case pursuant to your previous request.

NOTE:

This case involved the New York wire tap setup discovered in February, 1955. We conducted a preliminary investigation and furnished a copy of our report to Mr. Olney. He advised we should conduct no further investigation but stated we should follow the New York State prosecution and keep him advised of developments.

AIRTEL

FD-36

FEDERAL BUREAU OF INVESTIGATION

UNITED STATES DEPARTMENT OF JUSTICE

NY, NY 9/20/55

Transmit the following Teletype message to: BUREAU

JOHN G. BROADY, ET AL; UPUC.

UNAUTHORIZED PUBLICATION & USE OF COMMUNICATIONS

Rerep of SA TERENCE F. MC SHANE, 9/1/55, NY.

An article appearing in "New York Times" issue of 9/20/55, indicated a superseding indictment, including 14 counts of an indictment voted last May was returned against the subject on 9/19/55. The superseding indictment of 20 counts includes 6 new counts for wire tapping a business firm and 5 individuals.

BROADY is charged with tapping the lines of the Bristol Myers Co., 630 Fifth Ave., and the phones of

THOMAS TRACY, Private Detective, GEORGE GALLOWHUR, a chemical manufacturer, KYLE MAC DONNELL, a singer, and ALFRED M. STEELE, Chairman, Pepsi Cola Co.

The superseding indictment includes one count of conspiracy, 15 counts of illegal wire tapping, and 4 counts of unlawful possession of wire tap equipment and unlawful use of premises for wire tapping.

BROADY pled not guilty to the new true bill.

"New York Times" article indicates BROADY would probably be brought to trial on the latter part of October. Article points out that the tapping of the Bristol Myers wires was allegedly done from 303 East 53rd St., NYC, and the other wire tapping from 360 East 55th St., NYC, which apartment was leased by WARREN B. SHANNON.

The NYO will continue to follow this case and information received will be reported to the Bureau promptly.

Approved

3 - Bureau (139-149) (RM)

Sent

Special Agent in Charge

TFM:JEL (#1)

NY 139-10

Mr. Rosen

RECORDED - 77

KELLY

M Per

139-149-57

14 SEP 21 1955

cc Sup

Mr. Tolson	
Mr. Boardman	
Mr. Nichols	
Mr. Belmont	
Mr. Ladd	
Mr. Clegg	
Mr. Glavin	
Mr. Harbo	
Mr. Rosen	
Mr. Tracy	
Mr. Egan	
Mr. Gurnea	
Mr. Hendon	
Mr. Pennington	
Mr. Quinn	
Mr. Nease	
Tele. Room	
Mr. Holloman	
Miss Gandy	

b6
b7C

Office Memorandum • UNITED STATES GOVERNMENT

TO : SAC, New York (Your file 139-10)

DATE: 11-1-55

FROM : Director, FBI (Bufile & serial 139-149)SUBJECT: John G. Broady, et al
UPUCReurairtel 9/20/55
Office of Origin:

1. () The deadline in this case has passed and the Bureau has not received a report. You are instructed to submit a report immediately. In the event a report has been submitted, you should make a notation of the date on which it was submitted on this letter and return it to the Bureau, Room # 7184

Report submitted _____

Report will be submitted _____

Reason for delay Following state prosecution
Case hasn't come to trial as yet
inquiry as to trial date will
be made. of D.A. & Bureau would

2. (4) Advise Bureau re status of this case. C
3. () Advise Bureau when report may be expected.
4. () Surep immediately.

SEARCHED	INDEXED
SERIALIZED	FILED
NOV 2 1955	
FBI - NEW YORK	

Tracy
See me 11/1

(Place your reply on this form and return to the Bureau. Note on the top serial in the case file the receipt and acknowledgment of this communication.)

Return promptly to Bureau.

FEDERAL BUREAU OF INVESTIGATION
UNITED STATES DEPARTMENT OF JUSTICE
A I R T E L

NY, NY, 11/8/55

Transmit the following Teletype message to: BUREAU

JOHN G. BROADY ET AL; UPUC.

The start of the trial of BROADY was adjourned by General Sessions Judge JONAH J. GOLDSTEIN, until 11/15/55, in order that BROADY arrange for a new counsel. Attorneys HAROLD B. STEINBERG and SOL GELB, new counsels for BROADY, and both former NY State Assistant District Attorneys, asked for the adjournment to familiarize themselves with the case.

Will keep Bureau advised of all pertinent developments.

KELLY

FD-36
Mr. Tolson _____
Mr. Boardman _____
Mr. Nichols _____
Mr. Belmont _____
Mr. Harbo _____
Mr. Mohr _____
Mr. Parsons _____
Mr. Rosen _____
Mr. Tamm _____
Mr. Sizoo _____
Mr. Winterrowd _____
Tele. Room _____
Mr. Holloman _____
Miss Gandy _____

(3) - Bureau (REGULAR)

Mr. Rosen

RECORDED - 25

EX-126

139-149-58
NOV 9 1955

WJT:ABC
139-10

Approved

Special Agent in Charge

Sent

M Per

FEDERAL BUREAU OF INVESTIGATION
U. S. DEPARTMENT OF JUSTICE
COMMUNICATIONS SECTION

NOV 15 1955

TELETYPE

Mr. Tolson	_____
Mr. Boardman	_____
Mr. Nichols	_____
Mr. Belmont	_____
Mr. Harbo	_____
Mr. Mohr	_____
Mr. Parsons	_____
Mr. Rosen	_____
Mr. Tamm	_____
Mr. Sizoo	_____
Mr. Winterrowd	_____
Tele. Room	_____
Mr. Holloman	_____
Miss Gandy	_____

WASH 2 FROM NEW YORK

15

10-27 AM

DIRECTOR

URGENT

JOHN G. BROADY, ET AL, UPUC. STATE TRIAL OF SUBJECT IS SCHEDULED TO BEGIN GENERAL SESSIONS COURT, NYC, TODAY. AN AGENT OF NYO WILL PERSONALLY ATTEND THE TRIAL EACH DAY AND SUMMARY WILL BE FURNISHED BUREAU DAILY BY AIRTEL. UACB.

KELLY

RECORDED - 22

END

NY R 2, SM WA JAH

65 DEC 1 1955

Mr. Rosen

16 NOV 25 1955

139-149

Says Handley telephonically instructed not to afford such coverage, but to follow up on developments thru establish houses & press & keep advised. 6:15 pm 11/15/55

FEDERAL BUREAU OF INVESTIGATION
U. S. DEPARTMENT OF JUSTICE
COMMUNICATIONS SECTION

NOV 15 1955

TELETYPE

Mr. Tolson _____
Mr. Boardman _____
Mr. Nichols _____
Mr. Belmont _____
Mr. Harbo _____
Mr. Mohr _____
Mr. Parsons _____
Mr. Rosen _____
Mr. Tamm _____
Mr. Sizoo _____
Mr. Winterrowd _____
Tele. Room _____
Mr. Holloman _____
Miss Gandy _____

WASH 6 FROM NEW YORK 15 2-16 PM

DIRECTOR URGENT

Unlawful Publication or Use of Communications

JOHN G. BROADY, ET AL, UPUC. MR. EDWARD JONES, ANTI DASH CRIME COMMITTEE, TWO SEVEN ZERO PARK AVE., NYC, ADVISED THIS DATE THAT ON NOV FOURTEEN LAST, BROADY HAD ALL THE RECORDS OF CHARLES V. GRIS SUBPOENAED. BROADY HOPES TO USE THESE RECORDS AS HIS DEFENSE AND CONFUSE THE JURY BY FIXING RESPONSIBILITY ON GRIS, RATHER THAN HIMSELF. FOR INFO.

KELLY

END

NY R 6 WA LO

RECORDED - 22

NOV 15 1955

15 1 9

Assistant Attorney General
Warren Olney III

November 18, 1955

RECORDED - 22

Director, FBI

137-149-62
JOHN G. BROADY, ET AL;
UNAUTHORIZED PUBLICATION
OR USE OF COMMUNICATIONS
(139-149)

Reference is made to our memorandum dated September 27, 1955, and previous correspondence concerning this case.

Our New York Office has advised that the wire tap trial of Broady began November 15, 1955, before New York, New York, General Sessions Judge Jonah J. Goldstein. The jury was selected and the trial is expected to last four weeks.

Our New York Office has been advised that the following individuals are listed as potential witnesses for the State of New York: Kyla MacDonald, television star; and Alfred N. Steele, chairman of the board of the Pepsi Cola Company, who is the husband of movie actress Joan Crawford.

Mr. Edward Jones of the New York City Anti-Crime Committee advised that Broady had all the records of Charles Gris subpoenaed. Mr. Jones stated Broady hopes to use those records as his defense and this will confuse the jury by fixing responsibility on Gris rather than himself.

You are referred to the case entitled "Charles Gris; Unauthorized Publication or Use of Communications," your file 82-51-41.

You will be advised of pertinent developments with regard to the State's prosecution of this case pursuant to your previous request.

NOTE:

This case involved the New York wire tap setup disclosed in February, 1955. We conducted a preliminary investigation and furnished a copy of our report to Mr. Olney. He advised that we should conduct no further investigation but stated that we should follow the NY prosecution and keep him advised of developments. We have been doing this since February.

Tolson _____
Boardman _____
Nichols _____
Belmont _____
Harbo _____
Mohr _____
Parsons _____
Rosen _____
Tamm _____
 Sizoo _____
Winterrowd _____
Tele. Room _____
Holloman _____
Gandy _____

HJM:mar/djj/mrs

COMM - FBI

NOV 18 1955

MAILED 31

This case involved [redacted] in conspiracy with Warren Shannon and [redacted] former New York Telephone Co. employees participating in a large scale wire tap operation in N.Y. 2/55. We conducted preliminary inquiry and referred fact to Olney who requested we conduct no further investigation since N.Y. District Attorney Frank Hogan was prosecuting case under N.Y. State law. Olney requested us to follow State prosecution and keep Criminal Division advised.

FEDERAL BUREAU OF INVESTIGATION
U. S. DEPARTMENT OF JUSTICE
COMMUNICATIONS SECTION

NOV 19 1955

TELETYPE

WASH 11 FROM NEW YORK

15

5-55 P

DIRECTOR

..... U R G E N T

JOHN G. BROADY, ET AL, UPUC. WIRE TAP TRIAL OF BROADY BEGAN
THIS DATE BEFORE NYC GENERAL SESSIONS JUDGE JONAH J. GOLDSTEIN.
JURY SELECTED AND TRIAL EXPECTED TO LAST FOUR WEEKS. DISTRICT
ATTORNEY ALOYSIUS MELIA ADVISED THAT AMONG POTENTIAL WITNESSES,
STATE WITNESSES ARE KYLE MAC DONALD, TELEVISION STAR, AND ALFRED
N. STEELE, CHAIRMAN OF THE BOARD OF PEPSI COLA, AND HUSBAND OF
JOAN CRAWFORD. BUREAU WILL BE KEPT ADVISED OF DEVELOPMENTS IN
THIS CASE.

KELLY

END

WA NY R 11 WA RD

TWGCZ

Mr. Rosen

Mr. Tolson	
Mr. Boardman	
Mr. Nichols	
Mr. Belmont	
Mr. Harbo	
Mr. Mohr	
Mr. Parsons	
Mr. Rosen	
Mr. Tamm	
Mr. Sizoo	
Mr. Winterrowd	
Tele. Room	
Mr. Holloman	
Miss Gandy	

RECORDED - 22

139-149-62

1955

139-149

cc Int. Div.

FEDERAL BUREAU OF INVESTIGATION
UNITED STATES DEPARTMENT OF JUSTICE
AIRTEL

NY

11/17/55

Transmit the following Teletype message to:

JOHN G. BROADY, ET AL, UPUC.

On 11/16/55, SOL GELB, Defense Counsel, told the court that the defense will prove that WARREN B. SHANNON, in whose apartment at 360 East 55th Street a wire tap setup was raided last February, and CARL RUH, a telephone employee arrested as a consequence of the raid, were actually registered employees of CHARLES GRISS, a private detective reputed to be one of the biggest wire tappers in NY.

CHARLES GRISS put in an appearance at BROADY's trial on 11/16/55, to protest a subpoena calling on him to produce certain wire tap records. After a conference in Judge JONAH H. GOLDSTEIN's chambers, from which the prosecution was excluded, GRISS was excused subject to call when needed.

KELLY

- (3) - BUREAU (REGULAR)
1 - NEW YORK (139-26)

Mr. Rosen

RECORDED-46

EX. 121

WJT:mfd (#5)
139-10

139-149-63
28

Approved

Special Agent in Charge

Sent

M Per

FD-36

Mr. T. L. Mason	
Mr. Boardman	
Mr. Nichols	
Mr. Belmont	
Mr. Harbo	
Mr. Mohr	
Mr. Parsons	
Mr. Rosen	
Mr. Tamm	
Mr. Sizoo	
Mr. Winterrowd	
Tele. Room	
Mr. Holloman	
Miss Gandy	

Assistant Attorney General
Warren Olney III

November 25, 1955

RECORDED-46

Director, FBI

37629

EX-121

JOHN G. BROADY, et al;
UNAUTHORIZED PUBLICATION
OF USE OF COMMUNICATIONS
(139-149)

Reference is made to our memorandum dated November 18, 1955, and previous correspondence concerning this case.

Our New York Office advised that Sol Golb, defense counsel, told the court that the defense will prove that Warren B. Shannon, in whose apartment the wire tap setup in this case was found in February, 1955, and Carl Ruh, a former New York Telephone Company employee arrested as a consequence of the raid, were actually registered employees of Charles Gris, a private detective, reputed to be one of the biggest wire tappers in New York, New York.

Gris put in an appearance at Broady's trial on November 16, 1955, to protest a subpoena calling on him to produce certain wire tap records. After a conference in the chambers of Judge Jonah H. Goldstein, from which the prosecution was excluded, Gris was excused subject to call when needed.

Our New York Office has advised that Carl Ruh, former New York Telephone Company employee, testified that Broady requested him to put a "tap" on the telephone line of Ann Corio, well-known entertainer, and [redacted] concerning a "blackmail situation."

COMM - FBI

NOV 25

MAILED

At the outset of his testimony, Ruh stated that he had been employed by Charles Gris, private detective, for 3 years while he was employed by the New York Telephone Company. You are referred to the case entitled "Charles Gris; Unauthorized Publication or Use of Communications," your file 82-51-41.

Tolson _____
Boardman _____
Nichols _____
Belmont _____
Harbo _____
Mohr _____
Parsons _____
Rosen _____
Tamm _____
 Sizoo _____

Ruh also testified that he tapped the telephone line of Thomas Tracy, a private detective employed by Mrs. Cortrude Gresch Astor, the second wife of John Jacob Astor, III, when Astor and his ex-wife were "battling" over the custody of their daughter approximately one year ago.

DEC 2 1955

see Note P. 2

Memorandum to: Assistant Attorney General
Warren Olney III

37629
37630

Ruh also testified that at Broady's direction he tapped the long-distance telephone lines of Bristol-Myers and Company and he also tapped the New York telephone lines of the L. R. Squibb Company. Ruh testified that Broady told him that these were "security taps" to check on "leaks" in the companies.

You will be advised of pertinent developments with regard to the State's prosecution of this case pursuant to your previous request.

NOTE:

This case involved the New York wire tap setup disclosed in February, 1955. We conducted a preliminary investigation and furnished a copy of our report to Mr. Olney. He advised that we should conduct no further investigation but stated that we should follow the NY prosecution and keep him advised of developments. We have been doing this since February.

P.F.A.

AIRTEL
FEDERAL BUREAU OF INVESTIGATION
UNITED STATES DEPARTMENT OF JUSTICE
NEW YORK, NY

11/18/55

Transmit the following Teletype message to:

BUREAU

JOHN G. BROADY, ET AL.
UPUC.

37631

Mr. Tolson	
Mr. Boardman	
Mr. Nichols	
Mr. Belmont	
Mr. Harbo	
Mr. Mohr	
Mr. Parsons	
Mr. Rosen	
Mr. Tamm	
Mr. Sizoo	
Mr. Winterrowd	
Tele. Room	
Mr. Holloman	
Miss Gandy	

Remyairtel 11/17/55.

CARL RUH, former telephone employee, testified that BROADY requested him to put a "tap" on ANN CORIO, well-known stripper, and [REDACTED] because of a "blackmail situation."

At the outset of his testimony, RUH stated that he had been employed by CHARLES V. GRIS, private detective, for three years while drawing telephone pay.

RUH also stated that he tapped the phone of THOMAS TRACY, a private detective employed by Mrs. GERTRUDE GRESCH ASTOR, second wife of JOHN JACOB ASTOR the III, when ASTOR and his ex-wife were battling over custody of their daughter last year. RUH also stated that at BROADY's direction he tapped the long distance lines of Bristol-Myers and Company, and the NY phones of E. R. Squibb Company.

According to RUH, BROADY told him that these were "security taps" to check on leaks in the company.

Former Congressman FRANKLIN DELANO ROOSEVELT, JR. was a spectator in the court.

KELLY

③ - Bureau (Regular)
1 - NY 139-26

NY 139-10
WJT:BJC (#5)

RECORDED-46

Mr. Rosen

139-149-64

12 NOV 28 1955

Sent _____ M Per _____

Special Agent in Charge

WJT:BJC
11-25-55
H3m
Approved

[Handwritten signature]

LEGGE
Wojtyla-6
9-1
2-1
4-1
py

FEDERAL BUREAU OF INVESTIGATION

UNITED STATES DEPARTMENT OF JUSTICE

AIRTEL

NY, NY, 11/22/55

Transmit the following Teletype message to: BUREAU

JOHN G. BROADY, ET AL UPUC

Remy airtel, 11/18/55.

CARL RUH, former telephone employee, appeared on witness stand for third day. He admitted 20 more taps to which he listened.

ANN CORIO, Striptease Dancer, testified that she had never given anyone permission to listen in on her telephone.

KELLY

Mr. Rosen

RECORDED - 77
EX-126

139-149-65
7 NOV 24 1955

3 - Bureau (Regular)

WJT:JCZ (#5)
139-10

Approved [Signature] Sent _____ M Per _____
Special Agent in Charge

DEC 1 1955

Mr. Tolson _____
Mr. Boardman _____
Mr. Nichols _____
Mr. Belmont _____
Mr. Harbo _____
Mr. Mohr _____
Mr. Parsons _____
Mr. Rosen _____
Mr. Tamm _____
Mr. Sizoo _____
Mr. Winterrowd _____
Tele. Room _____
Mr. Holloman _____
Miss Gandy _____

LT 2-1

cc Sup

DECEMBER 1, 1955

AIRTEL

SAC, NEW YORK (139-10)

sub
JOHN G. BROADY, ET AL;
UPUC

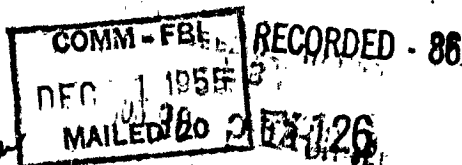
Advise Bureau of latest developments in this case.

HOOVER

Bufile (139-149)

HJM:mrs (4)

WV
Tolson _____
Boardman _____
Nichols _____
Belmont _____
Harbo _____
Mohr _____
Parsons _____
Rosen _____
Tamm _____
 Sizoo _____
Winterrowd _____
Tele. Room _____
Holloman _____
Gandy _____



139-149-66
16 DEC 2 1955

[Handwritten signature/initials]
km

December 6, 1955

AIRTEL

SAC, New York (139-10)

JOHN G. BROADY; ET AL;
UPUC

Reurairtel 12/3/55 advising that a third count of the indictment was dismissed against subject.

By airtel 11/29/55 you advised that a count was dismissed against Broady.

Advise the Bureau by airtel the nature of the second count that was dismissed against the subject.

Hoover

139-149

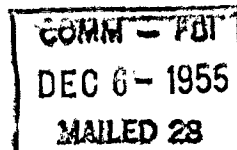
HJM:pap

(4) *pap*

RECORDED - 87 139-149-67

EX-107

13 DEC 7 1955



Om

DEC 9 1955

31P
Obm

Tolson _____
Boardman _____
Nichols _____
Belmont _____
Harbo _____
Mohr _____
Parsons _____
Rosen _____
Tamm _____
 Sizoo _____
Winterrowd _____
Tele. Room _____
Holloman _____
Gandy _____

1/10/56

Assistant Attorney General
Warren Olney III

December 6, 1955

Director, FBI

139-144-68

JOHN G. BROADY, et al;
UNAUTHORIZED PUBLICATION
OR USE OF COMMUNICATIONS
(139-149)

RECORDED-66

EX-124

Reference is made to our memorandum dated November 25, 1955, and previous correspondence concerning this case.

Our New York Office has advised that John Jacob Astor, III, appeared as a witness in the General Sessions Court in the wire tapping trial of Broady and he stated that he hired Broady to tap his telephone at 598 5th Avenue, New York, New York, because he was trying to get "the goods" on his then current [redacted] wife, Gertrude Gretsck Astor.

Judge Jonah J. Goldstein, at the request of defense counsel, Sol Gelb, advised the all male jury that there was no "wrongdoing" in the Astor case. Goldstein, at the request of defense counsel, dismissed one of the 20 counts in the indictment against Broady. The dismissed count involved a telephone tap placed on the telephone of Kyle MacDonnell, television personality, at the request of her husband, Richard H. Jordan, Jr.

In view of the ruling by Judge Goldstein, all of the testimony by Kyle MacDonnell and Richard H. Jordan, Jr., was stricken from the record.

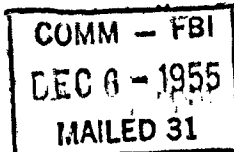
The trial is continuing and you will be advised of pertinent developments.

NOTE:

This case involved the New York wire tap setup disclosed in 2/55. We conducted preliminary investigation and furnished a copy of our report to Mr. Olney. Olney advised that we should conduct no further investigation but stated that we should follow the New York prosecution and keep them advised of developments.

Tolson _____
Boardman _____
Nichols _____
Belmont _____
Harbo _____
Mohr _____
Parsons _____
Rosen _____
Tamm _____
 Sizoo _____
Winterrowd _____
Tele. Room _____
Holloman _____
Gandy _____

HJM:mrs (4)



DEC 9 1955

[Handwritten signatures and initials]

✓ 1710R-5715

FEDERAL BUREAU OF INVESTIGATION

UNITED STATES DEPARTMENT OF JUSTICE

AIR-TEL

11/29/55, NEW YORK

Transmit the following Teletype message to: ☒ BUREAU

Mr. Tolson	_____
Mr. Nichols	_____
Mr. Boardman	_____
Mr. Belmont	_____
Mr. Mason	_____
Mr. Mohr	_____
Mr. Parsons	_____
Mr. Rosen	_____
Mr. Tamm	_____
Mr. Nease	_____
Mr. Winterrowd	_____
Tele. Room	_____
Mr. Holloman	_____
Miss Gandy	_____

JOHN G. BROADY; ET AL; UPUC

*Unlawful Publication or Use
of Communications*

Remyairtel, 11/22/55.

JOHN JACOB ASTOR, III, appearing as a witness in General Sessions Court in the wiretapping trial of captioned subject, stated that he hired BROADY to tap his telephone at 598 Fifth Ave. because he was trying to get the goods on his then current second wife, GERTRUDE GRETSCH ASTOR.

Private Detective THOMAS TRACY who was hired by GERTRUDE GRETSCH ASTOR for a counter offensive that never came off, also testified briefly.

Judge JONAH J. GOLDSTEIN, at the request of defense counsel, SOL GELB, advised the all male jury that there was no "wrong-doing" in the ASTOR case. GOLDSTEIN also bowed to defense requests and threw out one of the 20 counts in the indictment against BROADY. The dismissed count involved tap put on phone of KYLE MAC DONNELL, TV personality, at the request of her ex-husband, RICHARD H. JORDAN, JR.

In view of this ruling by Judge GOLDSTEIN all testimony by KYLE MAC DONNELL and RICHARD H. JORDAN was stricken. Trial is continuing.

KELLY

Mr. Rosen

3 - Bureau (RM)

WJT:EAM (# 5)
NY 139-10

RECORDED-66

139-149-68

1955

Approved: _____

Special Agent in Charge

Sent _____

Per _____

cc Mr Rosen

Air-Tel
BUREAU OF INVESTIGATION

UNITED STATES DEPARTMENT OF JUSTICE

New York, 12/3/55

Mr. Tolson	ED-36
Mr. Nichols	
Mr. Boardman	
Mr. Belmont	
Mr. Mason	
Mr. Mohr	
Mr. Parsons	
Mr. Rosen	
Mr. Tamm	
Mr. Nease	
Mr. Winterrowd	
Tele. Room	
Mr. Holloman	
Miss Gandy	

Transmit the following Teletype message to: Bureau

JOHN G. BROADY, ET AL; UPUC.

Re Bureau air-tel December 1 last. State wire-tapping case involving subject still in progress in General Sessions Court, NYC. The prosecution rested its case on 12/2/55 after [redacted] testified and after Judge JONAH J. GOLDSTEIN dismissed a third count in the criminal 20 count indictment. The charge thrown out 12/2/55 had alleged that BROADY had illegally tapped the phone of [redacted] from

July 1 to December 31, 1954. There had been little testimony about that allegation and SOL GELB, Defense Council, met no opposition from Assistant District Attorneys ALOYSIUS J. MELIA and HAROLD BIRNS in asking that the charge be dismissed.

The subject is scheduled to take the stand on 12/5/55.

The Bureau will be kept advised of further developments in this case.

KELLY

Mr. Rosen

3 - Bureau (139-149) (Registered Mail)

RECORDED - 72

EX-126

139-149-69
8 DEC 5 1955

WJT:CPR (#5)
NY 139-10

50 DEC 14 1955

Approved

Special Agent in Charge

Sent

M Per

The Broady case involves the New York wire tap setup which was disclosed 2/55, New York City. We conducted preliminary investigation, referred report to Olney. Olney advised that we conduct no further investigation but requested to be kept advised of the state's prosecution in case since District Attorney Hogan, NY County, was prosecuting case under NY law. We have been keeping Olney advised since that time.

JJC:

*Radio this am said he
could receive up to 7 yrs*

FEDERAL BUREAU OF INVESTIGATION
U. S. DEPARTMENT OF JUSTICE
COMMUNICATIONS SECTION

DEC 8 1955

TELETYPE

Mr. Tolson	_____
Mr. Nichols	_____
Mr. Boardman	_____
Mr. Belmont	_____
Mr. Ladd	_____
Mr. Clegg	_____
Mr. Glavin	_____
Mr. Harbo	_____
Mr. Parsons	_____
Mr. Rosen	_____
Mr. Tracy	_____
Mr. Nease	_____
Mr. Winterrowd	_____
Tele. Room	_____
Mr. Holloman	_____
Miss Gandy	_____

WASH 16 FROM NEW YORK
DIRECTOR

8

11-01 PM

..... U R G E N T

JOHN G. BROADY, UPUC. RADIO NEWS BROADCAST INDICATES BROADY
CONVICTED ON SIXTEEN COUNTS OF WIRETAPPING. DETAILS WILL BE
OBTAINED FROM DA, NY COUNTY, DEC NINE, FIFTYFIVE AND FURNISHED
BUREAU IMMEDIATELY.

KELLY

END

WA NY R 16 WA JAH

TU DISC PLS

139-149-70

139-149

Dir. Boardman

Assistant Attorney General
Warren Olney III

December 13, 1955

Director, FBI

RECORDED-35

139-149-71
JOHN G. BROADY, et al
UNAUTHORIZED PUBLICATION
OR USE OF COMMUNICATIONS
(139-149)

Reference is made to our memorandum dated December 6, 1955, and previous correspondence concerning this case.

Our New York Office has been advised by Assistant District Attorney Harold Birns, New York County, New York, that Broady was convicted on December 8, 1955, on eleven counts of wire tapping, four counts of unlawful possession of wire tapping tools and maintenance of wire tapping plants, and one count of conspiracy.

Mr. Birns stated that the jury was deadlocked on one count of wire tapping, and he further stated that the subject will be sentenced on January 13, 1956.

Mr. Birns stated that three counts against Broady were dismissed during the trial. The first count, which involved a wire tap placed on the telephone of Kyle MacDonnell, an actress, was dismissed because her husband had authorized the telephone tap. The second count, which involved a wire tap placed on the telephone of Henry Herman Harjes, was dismissed because Harjes had authorized the wire tap. The third count, which involved a wire tap placed on the telephone of [redacted] was dismissed for lack of evidence.

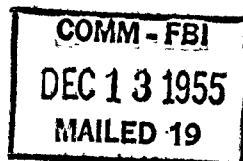
You will be advised of any further pertinent developments concerning this matter.

NOTE:

This case involved the New York wire tap setup disclosed in February, 1955. We conducted preliminary investigation and furnished a copy of our report to Mr. Olney. Olney advised that we should conduct no further investigation, but he stated we should follow the NY State prosecution and keep the Criminal Division advised of developments.

Tolson _____
Boardman _____
Nichols _____
Belmont _____
Harbo _____
Mohr _____
Parsons _____
Rosen _____
Tamm _____
 Sizoo _____
Wagner _____
Tele. Room _____
Holloman _____
Gandy _____

HJM:fil:mrs. (4)



JB4
Pro
7-18
JL
Jm

FEDERAL BUREAU OF INVESTIGATION
U. S. DEPARTMENT OF JUSTICE
COMMUNICATIONS SECTION

DEC 9 1955

TELETYPE

Mr. Tolson _____
Mr. Nichols _____
Mr. Boardman _____
Mr. Belmont _____
Mr. Mason _____
Mr. Mohr _____
Mr. Parsons _____
Mr. Rosen _____
Mr. Tamm _____
Mr. Nease _____
Mr. Winterrowd _____
Tele. Room _____
Mr. Holloman _____
Miss Gandy _____

WASHINGTON 4 FROM NEW YORK 9 2-520.
DIRECTOR U R G E N T

JOHN G. BROADY, ET AL, UPUC. ADA HAROLD BIRNS, NY CO., ADVISED SUBJECT
CONVICTED ON DECEMBER EIGHTH FIFTYFIVE ON ELEVEN COUNTS OF WIRE
TAPPING, FOUR COUNTS OF UNLAWFUL POSSESSION OF WIRE TAPPING TOOLS
AND MAINTENANCE OF WIRE TAPPING PLANTS, AND ONE COUNT OF CONSPIRACY.
BIRNS STATED JURY WAS DEADLOCKED ON ONE COUNT OF WIRE TAPPING AND
THAT SUBJECT WILL BE SENTENCED ON JANUARY THIRTEENTH, NEXT. BIRNS
ADVISED THREE COUNTS DISMISSED IN SUBJECT-S TRIAL. FIRST COUNT FOR
WIRE TAP ON KYLE MAC DONNELL, ACTRESS, BECAUSE HER HUSBAND HAD
AUTHORIZED TAP, SECOND COUNT DISMISSED FOR WIRE TAP AS RESIDENCE OF
HENRY HERMAN HARJES SINCE HARJES HAD AUTHORIZED TAP, AND THIRD
COUNT DISMISSED FOR WIRE TAP ON [REDACTED] FOR LACK OF
EVIDENCE. BUREAU WILL BE ADVISED OF FURTHER DEVELOPMENTS.

KLELLY

END AND ACK PLS

NY R 4 WA MES

TU DISC.

Mr. Rosen

RECORDED-35

13 DEC 15 1955

b6
b7C

Assistant Attorney General
Warren Olney III

January 18, 1956

Director, FBI

RECORDED - 4

139-149-72

EX-122

JOHN G. BROADY, ET AL;
UNAUTHORIZED PUBLICATION OR
USE OF COMMUNICATIONS
(139-149)

Reference is made to our memorandum dated
December 13, 1955.

Our New York Division has advised that Judge
Jonah Goldstein sentenced Broady to a term of from two to
four years on January 13, 1956. Judge Goldstein imposed
sentence for three counts of wire tapping and one count
of conspiracy. Sentence was suspended on twelve other
counts.

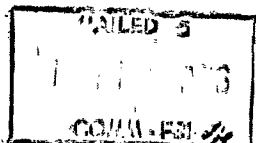
Mr. Sol Gelb, Defense Counsel, filed a notice of
appeal.

The above is for your information.

HJM:rap

(4)

NOTE: This case involved the New York wire tapping
setup disclosed in February, 1955. We conducted preliminary
investigation and furnished a copy of our report to Mr. Olney.
Olney advised that we should conduct no further investigation,
but he stated we should follow the New York State prosecution
and keep the Criminal Division advised of developments.



Tolson _____
Boardman _____
Nichols _____
Belmont _____
Harbo _____
Mohr _____
Parsons _____
Rosen _____
Tamm _____
 Sizoo _____
Winterrowd _____
Tele. Room _____
Holloman _____
Gandy _____

JAN 23 1956

RECEIVED
FBI
JAN 18 1956

Handwritten signatures and initials: *FW*, *2210*, *2210*, *2210*

JOHN G. BROADY, with ali, et al.
UPUC

Sentencing is result of New York local trial. Broady was convicted 12/8/55 on 16 counts of wire tapping. Broady case involves New York wire tap setup which was disclosed February, 1955, New York City. We conducted preliminary investigation, referred report to Olney. No further investigation requested to date.

139-149 JJC:

FEDERAL BUREAU OF INVESTIGATION
U. S. DEPARTMENT OF JUSTICE
COMMUNICATIONS SECTION

JAN 13 1956

TELETYPE

13

WASHINGTON FROM NEW YORK 15

DIRECTOR

....D E F E R R E D....

Mr. Tolson	
Mr. Nichols	
Mr. Boardman	
Mr. Belmont	
Mr. Mason	
Mr. Mohr	
Mr. Parsons	
Mr. Rosen	
Mr. Tamm	
Mr. Nease	
Mr. Winterrowd	
Tele. Room	
Mr. Holloman	
Miss Gandy	
5-39P	

Ring

Donohue
Morgan

UNAUTHORIZED PUBLICATION OR USE OF COMMUNICATIONS
JOHN G. BROADY, WA, ET AL, UPUC. JUDGE JONAH GOLDSTEIN SENTENCED
BROADY TO A TWO TO FOUR YEAR TERM TODAY. GOLDSTEIN IMPOSED
SENTENCE FOR THREE COUNTS OF WIRETAPPING AND ONE COUNT OF CONSPIRACY.
SENTENCED SUSPENDED ON TWELVE OTHER COUNTS. SOL GELB, DEFENSE COUNSEL,
FILED NOTICE OF APPEAL. BUREAU WILL BE KEPT ADVISED.

RECORDED - 4 KELLY
139-149 157-17-72
20 JAN 19 1956

END

NY R 15 WA SH

EX-122

man
AAg
1/18/56

Mr. Rosen

cc Inv. Div.

AIRTEL
FEDERAL BUREAU OF INVESTIGATION
UNITED STATES DEPARTMENT OF JUSTICE
New York, 12/13/55

Mr. Tolson
Mr. Ladd
Mr. Nichols
Mr. Belmont
Mr. Clegg
Mr. Glavin
Mr. Harbo
Mr. Mohr
Mr. Parsons
Mr. Rosen
Mr. Tracy
Mr. Egan
Mr. Gurnea
Mr. Hendon
Mr. Pennington
Mr. Quinn
Mr. Nease
Miss Gandy

Transmit the following Teletype message to: Bureau
UNAUTHORIZED PUBLICATION OR USE OF COMMUNICATIONS
UPUC, NEW YORK DIVISION.

W.F.
JOHN F. O'BRIEN
On 12/12/55, P.M., at the request of USA PAUL WILLIAMS, SDNY, ASAC EDWARD J. MC CABE participated in a conference with WILLIAMS, his Chief Assistant AUSA THOMAS B. GILCHRIST, Chief of the Criminal Division AUSA ARTHUR H. CHRISTY, and his Executive Assistant AUSA JOHN RODER, concerning the wire tapping cases of the NYO.

6
b3
[Redacted Box]
Accordingly, a conference was arranged on 12/13/55 with RODER and agents of the NYO who are assigned to UPUC matters.

- 3 - Bureau (66-6200-139) (REGULAR)
1 - NY 139-10
1 - NY 139-11
1 - NY 139-13
1 - NY 139-14
1 - NY 139-15
1 - NY 139-16
1 - NY 139-18
1 - NY 139-26
1 - NY 139-27

TFM:RVM (#5)
139-19

Mr. Rosen

OK
Approved: _____

Special Agent in Charge

Sent _____ M

Per _____
SIX.

FEDERAL BUREAU OF INVESTIGATION
UNITED STATES DEPARTMENT OF JUSTICE

- - - - -

Transmit the following Teletype message to:

Page 2-
NY 139-19

On 12/13/55 A. M., a conference was held between ROYDER, CHRISTY and SAs TERENCE F. MC SHANE and WILLIAM J. TRACY. SAs TRACY and MC SHANE were prepared to discuss the UPUC cases involving JOHN G. BROADY, BERNARD SPINDEL, ROBERT C. LABORDE, KENNETH RAYN, RICHARD CHAMBERS RUTHERFORD, GERARD MICHAEL CALLAHAN, CHARLES GRIS and HARRY KEEN.

The Bureau is aware that the BROADY case is in a closed status, prosecution having been declined, and BROADY recently convicted in NY State Court on 16 counts of wire tapping.

The SPINDEL case is presently under consideration by the Department with regards to SPINDEL's activities in the divorce trial of Mr. and Mrs. BERNARD SCHUBERT.

The RYAN case is presently in a closed status, prosecution having been declined.

Prosecution has also been declined in the CALLAHAN case and CALLAHAN has been indicted on 2 counts for violation of Section 1423, sub division 6 of the NY State Penal Code.

ROYDER, however, only discussed the LABORDE, RUTHERFORD, GRIS and KEEN cases.

The LABORDE case is presently in a pending status in the NYO and investigation has been directed towards a possible violation of UPUC Statutes by utilizing surveillances and checks of his bank account.

The RUTHERFORD case is likewise in a pending status in the NYO and surveillances have been utilized in an attempt to place RUTHERFORD at a wire tap plant.

Approved _____ Sent _____ M Per _____
Special Agent in Charge

FEDERAL BUREAU OF INVESTIGATION
UNITED STATES DEPARTMENT OF JUSTICE

- - - - -

Transmit the following Teletype message to:

Page 3-
NY 139-19

Investigation in the KEEN case has followed along the investigative steps of both the LABORDE and RUTHERFORD cases.

The GRIS case is in a closed status, prosecution having been declined, and ROKDER did not desire any additional investigation unless new information regarding wire tapping be uncovered.

With regards to these cases, ROKDER and CHRISTY advised that they desire the NYO to continue the present UPUC investigations in the manner in which they are being conducted. ROKDER stated that he wanted a UPUC case for prosecution in which the subscriber to the telephone did not give his permission to have the telephone tapped. ROKDER pointed out that he desired this condition so as not to conflict with the NY State APPLEBAUM decision regarding wire tapping.

ROKDER said the case he desired for prosecution would also, of necessity, involve the divulgence on the part of the wire tapper concerning the tapped telephone conversation. ROKDER specifically pointed out that he desired a case which would involve "dirty business on the line of blackmail". He also said that he would prefer the wire tapper to be a rather low type person so as to preclude any sympathy on the part of the Grand Jury for the wire tapper.

ROKDER pointed out that it is his desire at the present time for the NYO not to contact the NY Telephone Company or bring them into any case in any manner. ROKDER pointed out the obvious ramifications

Approved _____ Sent _____ M Per _____
Special Agent in Charge

FEDERAL BUREAU OF INVESTIGATION
UNITED STATES DEPARTMENT OF JUSTICE

Transmit the following Teletype message to:

Page 4-
NY 139-19

of such a contact with the Telephone Company as possibly hindering the Bureau's operation along technical lines.

ROKDER stated that before he would authorize the NYO contacting the New York Telephone Company in these investigations, he would get the expressed approval of the Attorney General's Office in Washington.

KELLY

CC: MR. ROSEN

~~XXXXXXXXXX~~
INVESTIGATIVE DIVISION

Approved _____ Sent _____ M Per _____
Special Agent in Charge

January 17, 1956

AIRTEL

SAC, NEW YORK (139-10)

JOHN G. BROADY, ET AL; UPUC

Reurtel 1/13/56.

Advise the Bureau of the disposition of the state case against the other subjects in this matter. In addition, keep the Bureau advised of all pertinent developments in respect to this case.

HOOVER

139-149

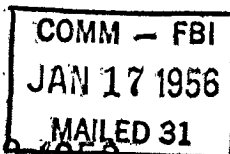
HJM:rap
(4)

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Boardman _____
Nichols _____
Belmont _____
Harbo _____
Mohr _____
Parsons _____
Rosen _____
Tamm _____
 Sizoo _____
Winterrowd _____
Tele. Room _____
Holloman _____
Gandy _____

RECORDED - 47

139-149-73

JAN 19 1956



JAN 23 1956

139-149-73

Assistant Attorney General
Warren Olney III
139-141-74
Director, FBI

January 27, 1956

200
RECORDED - 83
26-11
JOHN G. BROADY, et al
UNAUTHORIZED PUBLICATION
OR USE OF COMMUNICATIONS
(139-149)

Reference is made to our memorandum dated January 18, 1956, advising you that John G. Broady was sentenced to a term of from 2 to 4 years on January 13, 1956.

Assistant District Attorney Harold Birns, New York County, New York, advised our New York Office that the sentencing of Warren B. Shannon, Carl Ruh and Walter C. Asmann has been put off until February 20, 1956.

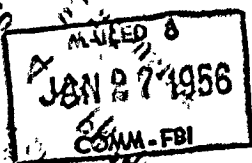
The above is for your information.

NOTE:

This case involved the New York wire tapping setup disclosed in 2/55. We conducted preliminary investigation and furnished a copy of our report to Mr. Olney. Olney advised that we should conduct no further investigation but he stated we should follow the New York State prosecution and keep the Criminal Division advised of developments.

HJM:mrs (4)

WMM
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Tele. Room _____
Holloman _____
Gandy _____



68 FEB 2 1956

AIR TEL
FEDERAL BUREAU OF INVESTIGATION
UNITED STATES DEPARTMENT OF JUSTICE
NY, NY...1/24/56

Mr. Tolson _____
Mr. Nichols _____
Mr. Boardman _____
Mr. Belmont _____
Mr. Mohr _____
Mr. Parsons _____
Mr. Rosen _____
Mr. Tamm _____
Mr. Nease _____
Mr. Winterrowd _____
Tele. Room _____
Mr. Holloman _____
Miss Gandy _____

Transmit the following Teletype message to: BUREAU

JOHN G. BROADY, ET AL
UPUC

ReBuairtel, 1/17/56.

Assistant District Attorney HAROLD BIRNS,
NY County, advised sentencing of WARREN B. SHANNON,
CARL RUH, and WALTER C. ASMANN has been put off until
2/20/56. BIRNS advised he will keep the NYO advised
in this matter and the NYO in turn will advise the
Bureau.

KELLY

3-Bureau (139-149)(Regular Mail)
1-New York (139-10)

Mr. Rosen

139-149-74

RECORDED - 83

18 JAN 25 1956

EX - 118

APB
Memo Cliney
1-27-56

TFM:mrv (#5)
(5)

Approved: _____
Special Agent in Charge

Sent _____ M Per _____

Office Memorandum • UNITED STATES GOVERNMENT

TO : Mr. Rosen *PRW*

DATE: 3/4/56

FROM : F. L. Price *FLP*SUBJECT: JOHN G. BROADY
UNAUTHORIZED PUBLICATION OR
USE OF COMMUNICATIONS (UPUC)

(139-149)

Tolson	_____
Boardman	_____
Nichols	_____
Belmont	_____
Harbo	_____
Mohr	_____
Parsons	_____
Rosen	_____
Tamm	_____
Sizoo	_____
Winterrowd	_____
Tele. Room	_____
Holloman	_____
Gandy	_____

PRW Supervisor C. C. Lenz of the Domestic Intelligence Division called Extra Duty Supervisor C. W. Pardo and advised that Walter Winchell in his broadcast on the evening of 3/4/56 said in part: "John G. Broady sentenced to Sing Sing Prison for wiretapping a few weeks ago was suddenly released last night on writ of reasonable doubt." *murphy*

It is noted that the Bureau conducted a preliminary investigation concerning the New York wiretapping setup in February, 1955, and Broady was the principal subject. A copy of our preliminary report was furnished to the Criminal Division. The Criminal Division advised that the Bureau should conduct no further investigation since Frank Hogan, District Attorney, New York, was prosecuting Broady under the New York State wiretapping laws. The Criminal Division requested that the Bureau follow the state case and keep the Criminal Division advised of the developments in the case. Broady was sentenced to a term of from two to four years on 1/13/56 in New York State Court and the Criminal Division was advised of this matter.

ACTION:

At about 11:15 PM, 3/4/56, Extra Duty Supervisor C. W. Pardo called the New York Office and talked to SA William Eddy. Eddy was furnished Winchell's comments and requested to advise the Bureau if comments true, and, if so, the details of Broady's release. SA Eddy called back at about 11:50 PM and stated the New York file showed a clipping 2/22/56 from "New York Tribune" indicating Broady had applied for a certificate of reasonable doubt which, if granted, would free him on bond pending appeal. Eddy said the New York Office would get details of release early 3/5/56 and sutel Bureau.

139-149

cc: Mr. Nichols
Mr. Lenz - room 1513

CWP:ate:cwp

*as AC Mr. Calkins, NYO,
instructed to expedite*

EX-125

RECORDED

139-149-75, km

8 MAR 1956

71 MAR 8 1956

Office Memorandum • UNITED STATES GOVERNMENT

TO : SAC, New York (Your file 139-10)

DATE: 2-27-56

FROM : Director, FBI

(Bufile & serial 139-149)

SUBJECT:

John G. Broady; et al
UPUC

Office of Origin:

Reurairtel 1/24/56

1. () The deadline in this case has passed and the Bureau has not received a report. You are instructed to submit a report immediately. In the event a report has been submitted, you should make a notation of the date on which it was submitted on this letter and return it to the Bureau, Room # 520

Report submitted _____

Report will be submitted _____

Reason for delay _____

SHANNON, CUL & ASMAN to be sentenced

SEARCHED _____	INDEXED _____
SERIALIZED _____	FILED _____

ON 3/19/56 ACCORDING TO A. SIMON, NYC

5 FEB 28 1956

FBI - NEW YORK

2. (4) Advise Bureau re status of this case, or results of sentencing
3. () Advise Bureau when report may be expected.
4. () Surep immediately. 1.7 mo

SHANNON
RUH
ASMAN

(Place your reply on this form and return to the Bureau. Note on the top serial in the case file the receipt and acknowledgment of this communication.)

Return promptly to Bureau

RECORDED-38

139-149-76
Assistant Attorney General
Warren Olney III

March 7, 1956

Director, FBI

EX-121

JOHN G. BROADY, et al
UNAUTHORIZED PUBLICATION
OR USE OF COMMUNICATIONS
(139-149)

Reference is made to our memorandum dated January 27, 1956, concerning captioned matter.

Our New York Office has advised that Harold Birns, Assistant District Attorney, New York County, New York, informed that Broady's application for a certificate of reasonable doubt and for admittance to bail pending an appeal to the Appellate Division, New York State Supreme Court, was granted on March 2, 1956. Birns stated that he expected Broady would be released from Sing Sing Prison on bail March 5, 1956.

Our New York Office has also advised that Mr. A. Simon of the New York City Probation Department stated that the other 3 subjects of this case are to be sentenced on March 19, 1956.

The above is for your information.

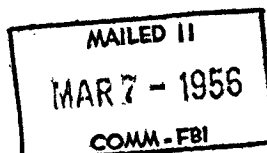
NOTE:

This case involved the New York wire tapping set up disclosed 2/55. We conducted preliminary investigation and furnished a copy of our investigative report to Mr. Olney. Olney advised that we should conduct no further investigation but he requested that we follow the New York State prosecution and keep the Criminal Division advised of developments since Frank Hogan, District Attorney, NY County, NY, was prosecuting the case.

Tolson _____
Boardman _____
Nichols _____
Belmont _____
Harbo _____
Mohr _____
Parsons _____
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Winterrowd _____
Tele. Room _____
Holloman _____
Gandy _____

HJM:mrs (4)

1 MAR 14 1956



Broady was one of the subjects involved in the New York (N.Y.) wire tap operation disclosed in February, 1955. We conducted preliminary investigation and furnished copy of our investigative report to Criminal Division. Criminal Division advised we should conduct no further investigation since N.Y. District Attorney Frank Hogan was prosecuting the case under N.Y. State wire tapping law. Broady was convicted of violating N.Y. State wire tapping law and sentenced N.Y. State Court, 2-4 years Sing Sing Prison January, 1956. Criminal Division was advised. We will furnish information in attached teletype to Criminal Division.

FEDERAL BUREAU OF INVESTIGATION
U. S. DEPARTMENT OF JUSTICE
COMMUNICATIONS SECTION

MAR 5 1956

TELETYPE

WASHINGTON 3 FROM NEW YORK 5 1-00 PM

DIRECTOR URGENT

Mr. Tolson	_____
Mr. Nichols	_____
Mr. Boardman	_____
Mr. Belmont	_____
Mr. Mason	_____
Mr. Mohr	_____
Mr. Parsons	_____
Mr. Rosen	_____
Mr. Tamm	_____
Mr. Nease	_____
Mr. Winterrowd	_____
Tele. Room	_____
Mr. Holloman	_____
Miss Gandy	_____

JOHN G. BROADY, WA., ET AL., UPUC. ^{Unlawful Publication or Use of Communication} ADA HAROLD BIRNS, NY COUNTY, ^{Assistant District Attorney} ADVISED SUBJECTS APPLICATION FOR A CERTIFICATE OF REASONABLE DOUBT AND FOR ADMITTANCE TO BAIL PENDING AN APPEAL TO THE APPELLATE DIVISION, NY STATE SUPREME COURT, WAS GRANTED ON MARCH TWO, LAST. BIRNS SAID HE EXPECTED BROADY TO BE RELEASED FROM SING SING PRISON ON BAIL THIS MORNING. BUREAU WILL BE KEPT ADVISED OF PERTINENT DATA. *ow*

RECORDED-38

139-149-76

KELLY

EX-121

25 MAR 9 1956

6-Hm

HOLD-P

Mr. Rosen

miss Okey
3-7-56
HSM/mw

March 22, 1956

Airtel

SAC, New York (139-10)

71
JOHN G. BROADY, WA.; ET AL, UPUC.

Advise Bureau results of sentencing of subjects in this case, which was scheduled for 3/19/56.

Also advise the Bureau of any pertinent developments with respect to Broady's release from Sing Sing.

HOOVER

139-149

139-149-77

HJM:fil
(4)

RECORDED - 28

7 MAR 27 1956

EX-123

Tolson _____
Boardman _____
Nichols _____
Belmont _____
Harbo _____
Mohr _____
Parsons _____
Rosen _____
Tamm _____
 Sizoo _____
Winterrowd _____
Tele. Room _____
Holloman _____
Gandy _____

Om
3/24/56
COMM — FBI
MAR 22 1956
MAILED 24

FLP/
JGK/AM
HM

✓ 7720/HJM - 5718

AIR-TEL

RECORDED-90

3/30/56

SAC, NEW YORK (139-10)

139-149-78
JOHN G. BROADY, wa., ET AL.
UPUC.

Reur airtel 3/28/56.

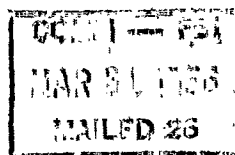
Advise Bureau results of sentencing of Walter C.
Asmann by return airtel.

HOOVER

139-149

Tolson _____
Boardman _____
Nichols _____
Belmont _____
Harbo _____
Mohr _____
Parsons _____
Rosen _____
Tamm _____
 Sizoo _____
Winterrowd _____
Tele. Room _____
Holloman _____
Gandy _____

HJM:fkx
(4)



APR 2 8 00 AM '56
FBI NEW YORK

2P
Hm

FBI

Date: 3/28/56

Transmit the following message via AIRTEL

(Priority or Method of Mailing)

From SAC, NEW YORK (139-10)To: DIRECTOR, FBI (139-149)JOHN G. BROADY, wa; et al
UPUC

ReBuairtel 3/22/56. A. SEIDMAN, NYC Probation Department, advised date of sentencing for CARL RUH and WARREN SHANNON has been rescheduled for 6/15/56. NY will follow and report any developments to Bureau.

KELLY

Mr. Tolson	_____
Mr. Nichols	_____
Mr. Boardman	_____
Mr. Belmont	_____
Mr. Mason	_____
Mr. Mohr	_____
Mr. Parsons	_____
Mr. Rosen	_____
Mr. Tamm	_____
Mr. Nease	_____
Mr. Winterrowd	_____
Tele. Room	_____
Mr. Holloman	_____
Miss Gandy	_____

- ③ - Bureau (139-149) (Regular Mail)
1 - New York (139-10)

TMCs:atm
(5)

Mr. Rosen

RECORDED-90

airtel to NY
3/30/56
Am
139-149-78
4-10
23 MAR 30 1956

Approved: _____
Special Agent in Charge

Sent _____ M Per _____

Assistant Attorney General
Warren Olney III

April 9, 1956

Director, FBI

RECORDED-90

139-147-79
JOHN C. BROADY, et al
UNAUTHORIZED PUBLICATION
OR USE OF COMMUNICATIONS

Reference is made to our memorandum dated March 7, 1956, concerning captioned matter.

Our New York Office has advised that according to the New York, New York, Probation Department, Carl Ruh, Warren Shannon and Walter C. Asmann will not be sentenced until June 15, 1956.

The above is for your information.

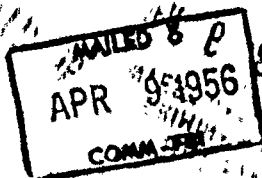
139-149

NOTE:

This case involves the New York wire tap setup disclosed 2/55. We conducted preliminary investigation and furnished copy of our investigative report to Olney. Olney advised we should conduct no further investigation but he requested that we follow the NY State prosecution and keep the Criminal Division advised of developments since Frank Hogan, District Attorney, NY County, NY, was prosecuting the case. We previously advised Olney that Broady was sentenced by NY Court to term of 2 to 4 years on 1-13-56 for violating NY State wire tapping laws. We also advised him that Broady was released from Sing Sing and admitted to bail pending an appeal to the Appellate Division, NY State Supreme Court, after he submitted an application for a certificate of reasonable doubt.

Tolson _____
Boardman _____
Nichols _____
Belmont _____
Harbo _____
Mohr _____
Parsons _____
Rosen _____
Tamm _____
 Sizoo _____
Winterrowd _____
Tele. Room _____
Holloman _____
Gandy _____

HJM:mrs (4)



DEPT OF JUSTICE
FBI

APR 9 1956

COMM-FBI

APR 12 1956

77844-57184

Handwritten signatures and initials: JHM, JHM, JHM, HJM

F B I

W Date: 4/2/56

Transmit the following message via AIRTEL

(Priority or Method of Mailing)

From SAC, NEW YORK (139-10)

To: DIRECTOR, FBI (139-149)

JOHN G. BROADY, was, ET AL
UPUC

Mr. Tolson	_____
Mr. Nichols	_____
Mr. Boardman	_____
Mr. Belmont	_____
Mr. Mason	_____
Mr. Mohr	_____
Mr. Parsons	_____
Mr. Rosen	_____
Mr. Tamm	_____
Mr. Nease	_____
Mr. Winterrowd	_____
Tele. Room	_____
Mr. Holloman	_____
Miss Gandy	_____

ReBuairtel 3/30/56.

E. W. REEVES, NYC Probation Department,
advised WALTER C. ASMANN is scheduled for sentencing
on 6/15/56 the same date as CARL RUH and WARREN
SHANNON.

NY will follow and keep the Bureau
advised.

KELLY

Mr. Rosen

RECORDED-90

139 149-79
4-10
18 APR 3 1956

(3) - Bureau (139-149)
1 - New York (139-10)

TFM:mmr (#5)
(5)

Wmms AAG Olney
4-9-56
HSM/mrs

Approved: [Signature] Agent in Charge

Sent _____ M Per _____

F B I

Date: 5/29/56

Transmit the following message via

AIRTEL

(Priority or Method of Mailing)

From SAC, NEW YORK (139-10)

To: BUREAU (139-149)

JOHN G. BROADY, wa. ET AL
UPUS

Re NY airtel 4/2/56.

A. SEIDMAN, NYC Probation Department, advised that CARL RUH, WARREN SHANNON and WALTER C. ASMANN are still scheduled to be sentenced on 6/15/56.

NYO will remain in contact with SEIDMAN and report details of sentencing.

KELLY

③ - Bureau (139-149) (Regular)
1 - NY 139-10

TFMCS:bjc (#5)
(5)

Mr. Rosen

RECORDED - 5

EL-104

11 MAY 30 1956

Special Agent in Charge

Sent _____ M Per _____

Mr. Tolson	_____
Mr. Nichols	_____
Mr. Boardman	_____
Mr. Belmont	_____
Mr. Mason	_____
Mr. Mohr	_____
Mr. Parsons	_____
Mr. Rosen	_____
Mr. Tamm	_____
Mr. Nease	_____
Mr. Winterrowd	_____
Tele. Room	_____
Mr. Holloman	_____
Miss Gandy	_____

68 JUN 7 1956

GTR 3

SAC, New York (139-10)

6-18-56

71
Director, FBI (139-149)

JOHN G. BROADY, wa., et al
UPUC

Reurairtel 5-29-56.

Advise Bureau results of sentencing of Ruh,
Shannon and Asmann. Also advise the Bureau of any
further developments with respect to Broady.

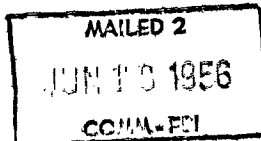
A report should be submitted to reach the
Bureau no later than 6-25-56.

Tolson _____
Boardman _____
Nichols _____
Belmont _____
Harbo _____
Mohr _____
Parsons _____
Rosen _____
Tamm _____
 Sizoo _____
Winterrowd _____
Tele. Room _____
Holloman _____
Gandy _____

HJM:mrs

(4)

RECORDED 139-149-81



17 JUN 20 1956

EX 120

FLP
8
Jm

- 77-139-5718

We conducted preliminary investigation concerning this case which involved Broady, Asmann, Ruh, and Shannon who operated a wire tapping setup which was disclosed in New York City in February, 1955. We referred a copy of our investigative report to the Criminal Division. The Criminal Division requested that we conduct no further investigation but that we should follow the New York State prosecution inasmuch as District Attorney Hogan of New York City was prosecuting this case under New York State wire tapping laws. Broady was previously sentenced in January, 1956, to 2 to 4 years in Sing Sing State Prison, New York; but he was released subsequently on a certificate of reasonable doubt and his case is presently on appeal. We will advise the Criminal Division with respect to the information contained in enclosed airtel from New York.

HJM:ews

FBI

Date: 6/21/56

Transmit the following message via AIR-TEL

(Priority or Method of Mailing)

FROM: SAC, NEW YORK

TO: BUREAU

JOHN G. BROADY, wa et al
UPUC

UNAUTHORIZED PUBLICATION OR USE OF COMMUNICATIONS

NYC newspapers reflect WALTER ASMANN, CARL RUH and WARREN SHANNON, all of whom pleaded guilty in a NY State wire tap trial involving the subject received two year suspended sentences on 6/15/56. Sentences were handed down by General Sessions Judge JONAH J. GOLDSTEIN.

KELLY

3-Bureau (139-149) (RM)
1-NY 139-10

TFMcS:MTD (#5)
(5)

Mr. Rosen

RECORDED - 1

EX-120

CC: INVEST. DIV.

139-149-82
10 JUN 20 1956Approved: [Signature] Special Agent in ChargeSent M Per

Mr. Tolson	✓
Mr. Nichols	✓
Mr. Boardman	✓
Mr. Belmont	✓
Mr. Mason	✓
Mr. Mohr	✓
Mr. Parsons	✓
Mr. Rosen	✓
Mr. Tamm	✓
Mr. Nease	✓
Mr. Winterrowd	✓
Tele. Room	✓
Mr. Holloman	✓
Miss Gandy	✓

RECEIVED
JUN 20 1956
FBI NEW YORK

F410
53 JUN 26 1956

Assistant Attorney General
Warren Olney III

June 25, 1956

Director, FBI

①
JOHN G. BROADY, with alias, et al
UNAUTHORIZED PUBLICATION
OR USE OF COMMUNICATIONS

Reference is made to our memorandum dated April 9, 1956, concerning captioned matter, your file 82-51-35.

Our New York Office has advised that New York City newspapers reflect that Walter Asmann, Carl Ruh, and Warren Shannon received 2-year suspended sentences on June 15, 1956. The sentences were handed down by General Sessions Judge Jonah J. Goldstein, New York, New York.

You were previously advised subject Broady was sentenced to a term of from two to four years in Sing Sing State Prison, New York, in January, 1956. You were also advised that subsequent to that time he was released on a certificate of reasonable doubt and his case is presently on appeal.

By memorandum dated April 22, 1955, you stated that the Criminal Division would like to be advised of significant developments in regard to the handling of this matter by the office of the New York County District Attorney. Inasmuch as your request has been complied with, no further action will be taken by this Bureau unless the Department so directs.

NOTE: We conducted preliminary investigation concerning this case which involved Broady, Asmann, Ruh, and Shannon, who operated a wire-tapping setup which was disclosed in New York City in February, 1955. We referred a copy of our investigative report to the Criminal Division. The Criminal Division requested that we conduct no further investigation but that we should follow the New York State prosecution inasmuch as District Attorney Hogan of New York City was prosecuting this case under New York State wire-tapping laws. Broady was previously sentenced in January, 1956, to 2 to 4 years in Sing Sing State Prison, NY, but he was released subsequently on a certificate of reasonable doubt and his case is presently on appeal.

Tolson
Boardman
Nichols
Belmont
Harbo
Mohr
Parsons
Rosen
Tamm
 Sizoo
Winterrowd
Tele. Room
Holloman
Gandy

HJM:mrs

RECORDED-80

FEDERAL BUREAU OF INVESTIGATION

Reporting Office NEW YORK	Office of Origin NEW YORK	Date 6/25/56	Investigative Period 12/9/55; 1/13,24; 3/5,28, 5/29; 6/19,25/56
TITLE OF CASE JOHN G. BROADY, wa. ET AL		Report made by JOHN HENRY DOYLE	Typed By: mkc
		CHARACTER OF CASE UNAUTHORIZED PUBLICATION OR USE OF COMMUNICATIONS	

Synopsis:

WALTER ASMANN, CARL RUH and WARREN SHANNON were sentenced to two years and their sentences were suspended on 6/15/56. BROADY case is still not settled in so far as the appeal is concerned.

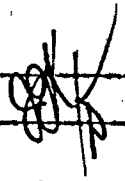
- P * -

DETAILS:

A. SEIDMAN, New York City Probation Department, advised SA TERENCE F. MC SHANE on June 19, 1956, that WALTER ASMANN, CARL RUH and WARREN SHANNON, who had pleaded guilty in the New York wire tap trial in which BROADY was the principal subject, received two year sentences on June 15, 1956, from General Sessions Judge JONAH J. GOLDSTEIN. The execution of these sentences were suspended.

EX-100

34

Approved 	Special Agent in Charge	Do not write in spaces below	
Copies made: ② - Bureau (139-149) 2 - New York (139-10)		139-149-84	RECORDED-57
		28 JUN 27 1956	

cc 990129 Form (6-94) F
6-29-56 RFS/F

53 JUL 11 1956

RECEIVED
JUL 11 1956
FBI
STAG

NY 139-10

Assistant District Attorney HAROLD BIRNS, New York County, advised SA JOHN HENRY DOYLE on June 22, 1956, that the matter of the appeal in the BROADY case was still in a pending status, and he is not aware of the developments to be expected in the future but he will advise this office when significant developments do take place.

A review of the file reflects that Assistant District Attorney HAROLD BIRNS advised that BROADY was convicted on December 8, 1955, on eleven counts of wire tapping, four counts of unlawful possession of wire tapping tools and maintenance of wire tapping plants and one count of conspiracy. BROADY was sentenced by Judge JONAH GOLDSTEIN for a two to four year term on January 13, 1956. It was from this sentence that BROADY appealed and is presently out on bail.

BROADY's application, according to Assistant District Attorney BIRNS, was for a certificate of reasonable doubt and for admittance to bail pending an appeal to the Appellate Division. This application was granted on March 2, 1956, and BROADY was released March 5, 1956, according to BIRNS.

- P * -

NY 139-10

ADMINISTRATIVE

The period of this report extends over a lengthy period because numerous contacts were made at the District Attorney's office to determine the status of the subjects in this case.

LEAD

NEW YORK

At New York, New York

Will maintain contact with Assistant District Attorney HAROLD BIRNS, New York County, and follow the appeal by BROADY in the State wire tap case.

REFERENCE Report of SA TERENCE F. MC SHANE, 9/1/55, New York.

ADMINISTRATIVE PAGE

SAC, New York (139-10)

7/13/56

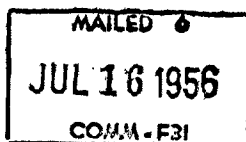
Director, FBI (139-149)

RECORDED - 73 139 149-85
JOHN G. BROADY, WA., ET AL
UPUC

Enclosed is a self-explanatory letter from Warren Olney III, Assistant Attorney General, Criminal Division, dated 7/9/56. Comply with Mr. Olney's request and follow Broady's appeal of his conviction to the Appellate Division, New York State Supreme Court. If a written opinion should be handed down by the Appellate Division and if copies are available, three copies should be furnished for dissemination to the Department.

Enclosure

RFS: jlp
(4)



Tolson _____
Boardman _____
Nichols _____
Belmont _____
Harbo _____
Mohr _____
Parsons _____
Rosen _____
Tamm _____
 Sizoo _____
Winterrowd _____
Tele. Room _____
 Holloman _____
Gandy _____

3 JUL 25 1956
5718

JPB
GE

Office Memorandum • UNITED STATES GOVERNMENT

TO : Director, Federal Bureau of Investigation

FROM : Warren Olney III, Assistant Attorney General
Criminal Division

SUBJECT: John G. Broady, et al.
Unauthorized Publication or Use of Communications

DATE: July 9, 1956

WO:JWB:cf

82-51-35

Reference is made to your memorandum of June 25, 1956, concerning the above matter.

It is requested that you advise us of the final disposition of Broady's appeal to the Appellate Division, New York State Supreme Court, from his conviction in the General Sessions Court. If a written opinion should be handed down by the Appellate Division, we would like to have two copies thereof if available.

RECORDED - 73

EX-109

139-149-85

14 JUL 10 1956

JUL 10 4 15 PM '56

Letter to NY in 1
cc of this letter
7-13-56. JWS

[Handwritten signatures and initials]

JUL 10 1956

FBI

Date:

AIRTEL

Transmit the following message via _____

(Priority or Method of Mailing)

TO: DIRECTOR, FBI (139-149)
 FROM: SAC, NEW YORK (139-10)
 SUBJECT: JOHN G. BROADY, wa, etal
 UPUC

Mr. Tolson	_____
Mr. Nichols	_____
Mr. Boardman	_____
Mr. Belmont	_____
Mr. Mohr	_____
Mr. Parsons	_____
Mr. Rosen	_____
Mr. Tamm	_____
Mr. Trotter	_____
Mr. Nease	_____
Tele. Room	_____
Mr. Holloman	_____
Miss Gandy	_____

Assistant District Attorney HAROLD BIRNS, NY County, advised this date that the subject's appeal of conviction is still pending. ADA BIRNS stated that the appeal motion will probably be argued sometime in the latter fall of this year. ADA BIRNS stated that as soon as the motion hearings are scheduled, he will advise the NYO.

KELLY

3-Bureau (139-149)
 1-New York (139-10)

TFM:ejd
 (5)

RECORDED-16

139-149-86

OCT 25 1956

Mr. Rosen

EX 104

Approved: _____

Special Agent in Charge

Sent _____ M

Per _____

cc: Sup

Office Memorandum • UNITED STATES GOVERNMENT

TO : SAC, New York (Your file 139-10) DATE: 8-24-56

FROM : Director, FBI 139-149

SUBJECT:

John G. Broady
et al UPUL

Reburememo 7/13/56

- () The deadline in this case has passed and the Bureau has not received a report. You are instructed to immediately submit a report. In the event a report has been submitted, you should make a notation of the date on which it was submitted on this letter and return it to the Bureau.

Report submitted _____

Report will be submitted _____

Reason for delay Asst. District Attorney HAROLD BIRNS,
NY COUNTY, STATED SUBJECT'S APPEAL OF SENTENCE
will be heard this Fall. BIRNS will ADVISE NYO of

() Advise Bureau re status of this case.

() Advise Bureau when report may be expected.

() Surep immediately.

Any develop-
ments.

Place your reply on this form and return to the Bureau. Note on the top serial in the case file the receipt and acknowledgment of this communication.)

File
6-111
3-13-58 7/14/51
noted Sep 30, 57
aerial submitted
9-26-57 Reflected
Bureau scheduled
How can I know
10/1/58
of Court
by 11/1/58

SA [Signature]
T. J. McSherry

0-1
10/5

0-1 to
NY 9/24
#2

4/11

SAC, New York (139-10)

10-25-56

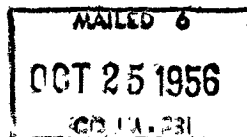
Director, FBI (139-149)

JOHN G. BROADY; et al
UPUC

Advise Bureau status of this case.

HJM:md
(4)

Tolson _____
Nichols _____
Boardman _____
Belmont _____
Mason _____
Mohr _____
Parsons _____
Rosen _____
Tamm _____
Nease _____
Winterrowd _____
Tele. Room _____
Holloman _____
Gandy _____



EX-125

RECORDED - 8

139-149-87

10 OCT 29 1956

F.A.P.
[Signature]

199
OCT 31 1956

✓ 139-4260

FEDERAL BUREAU OF INVESTIGATION
UNITED STATES DEPARTMENT OF JUSTICE

AIRTEL

10/29/56

Transmit the following Teletype message to: **DIRECTOR, FBI (139-149)**

FROM: SAC, NEW YORK (139-10)

JOHN G. BROADY, wa., ET AL
UPUC

FD-36
Mr. Tolson
Mr. Nichols
Mr. Boardman
Mr. Belmont
Mr. Mohr
Mr. Parsons
Mr. Rosen
Mr. Tamm
Mr. Trotter
Mr. Nease
Tele. Room
Mr. Holloman
Miss Gandy

ReBumemo, 10/25/56, and NYairtel, 10/24/56.

Info requested in reBumemo set out in reNYairtel.

KELLY

- ③ - Bureau (139-149)
- 1 - New York (139-10)

Mr. Rosen

139-149-88

RECORDED - 4

OCT 30 1956

EX-117

TFMcS:incl (#5)
(5)

Approved: _____

Sent _____ M Per _____

60 NOV 2 1956

Special Agent in Charge

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE 12/28/56	INVESTIGATIVE PERIOD 10/24,29;12/21/56
TITLE OF CASE JOHN G. BROADY, wa; ET AL		REPORT MADE BY JOHN HENRY DOYLE	TYPED BY mm
		CHARACTER OF CASE UNAUTHORIZED PUBLICATION OR USE OF COMMUNICATIONS	

SYNOPSIS:

ADA HAROLD BIRNS, New York County, advised on 10/24/56, that BROADY's appeal is still in a pending status.

- P* -

DETAILS

Assistant District Attorney HAROLD BIRNS, New York County, advised SA TERENCE F. MC SHANE on October 24, 1956, that JOHN G. BROADY's appeal of his conviction was then in a pending status. BIRNS stated that the appeal motion would probably be argued in the late Fall of this year or in the early Spring of 1957. Mr. BIRNS stated that as soon as the motion hearings are scheduled, he would advise the New York Office. Mr. BIRNS was recontacted by SA JOHN HENRY DOYLE on December 21, 1956, at which time he stated there was no change in the appeal status of BROADY.

- P* -

APPROVED <i>[Signature]</i>	SPECIAL AGENT IN CHARGE	DO NOT WRITE IN SPACES BELOW	
COPIES MADE: (2) - Bureau (139-149) 2 - New York (139-10) cc - AA & Henry Form 6-94F (this is submitted for your information) 1-7-57 H.M.		139-149-89 1-5-57 JAN 2 1957	RECORDED-3

58 JAN 14 1957

PROPERTY OF FBI—This report is loaned to you by the FBI, and neither it nor its contents are to be distributed outside the agency to which loaned.

NY 139-10

LEAD

NEW YORK

At New York, New York

Will maintain contact with ADA BIRNS concerning subject's appeal.

REFERENCE

Report of SA JOHN HENRY DOYLE, 6/25/56, New York.

ADMINISTRATIVE PAGE

Office Memorandum • UNITED STATES GOVERNMENT

TO : SAC, *New York* (Your file *139-10*) DATE *9-25-56*

FROM : Director, FBI *139-149*

SUBJECT: *John G. Broady*
et al, YPUC

Re your notation
in BU 0-1 Form of
8-24-56

- () The deadline in this case has passed and the Bureau has not received a report. You are instructed to immediately submit a report. In the event a report has been submitted, you should make a notation of the date on which it was submitted on this letter and return it to the Bureau.

Report submitted *HEARINGS ON APPEAL MOTION*

Report will be submitted *NOT YET SCHEDULED.*

Reason for delay *NYO IN CONTACT WITH*

ASST. DISTRICT ATT. H. BIRNS N.Y. COUNTY.
RE: SCHEDULE DATE.

- (~~1~~) Advise Bureau re status of this case.
- () Advise Bureau when report may be expected.
- () Surep immediately.

(Place your reply on this form and return to the Bureau. Note on the top serial in the case file the receipt and acknowledgment of this communication.)

SAC, New York (139-10)

February 18, 1957

Director, FBI (139-149)

JOHN G. BROADY, wa; et al.
UPUC

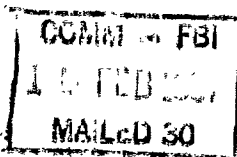
Re report SA John Henry Doyle at
New York dated 12-28-56.

Submit a report to reach the Bureau
no later than 2-28-57.

Tolson _____
Nichols _____
Boardman _____
Belmont _____
Mason _____
Mohr _____
Parsons _____
Rosen _____
Tamm _____
Nease _____
Winterrowd _____
Tele. Room _____
Holloman _____
Gandy _____

HJM:stw
(4)

RECORDED - 30



EX-116

139-149-90
15 FEB 1957

[Handwritten signature]

100-344-4260

Office Memorandum

UNITED STATES GOVERNMENT

TO : SAC, New York (Your file 139-10) DATE 12-17-56

FROM : Director, FBI 139-149

SUBJECT: John G. Broady, WA. et al
4P4C

- () The deadline in this case has passed and the Bureau has not received a report. You are instructed to immediately submit a report. In the event a report has been submitted, you should make a notation of the date on which it was submitted on this letter and return it to the Bureau.

Report submitted _____

Report will be submitted _____

Reason for delay _____

Room 4688

() Advise Bureau re status of this case.

() Advise Bureau when report may be expected.

(1) Surep immediately to reach Bureau by 12/31/56

(Place your reply on this form and return to the Bureau. Note on the top serial in the case file the receipt and acknowledgment of this communication.)

16-60216-1

Return promptly to Bureau

Office Memorandum • UNITED STATES GOVERNMENT

TO : SAC, NEW YORK (Your file 139-10)

DATE: 11-19-56

FROM : Director, FBI (Bufile and serial 139-149)

SUBJECT:

JOHN G. BROADY, wa., ET AL

UPUC

Office of Origin:

1. () The deadline in this case has passed and the Bureau has not received a report. You are instructed to submit a report immediately. In the event a report has been submitted, you should make a notation of the date on which it was submitted on this letter and return it to the Bureau, Room No. 4262

Report submitted

Report will be submitted

Reason for delay H. B. STEINBERG, SUBJECT'S COUNSEL, VOLUNTEERED INFO.

that he is preparing SUBJECT'S APPEAL BRIEF - THAT HE EXPECTS BRIEF TO BE READY IN EARLY PART OF 1957. STEINBERG WAS CONTACTED IN CONNECTION WITH UPUC CASE ON HARRY JEW, Bufile 139-242 5

2. () Advise Bureau re status of this case.
3. () Advise Bureau when report may be expected.
4. () Surep immediately.

(Place your reply on this form and return to the Bureau. Note on the top serial in the case file the receipt and acknowledgment of this communication.)

0-1 to
NY 11/17/56
surep by 131
full

T. McShane

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE 2/27/57	INVESTIGATIVE PERIOD 2/25/57
TITLE OF CASE JOHN G. BROADY, wa; ET AL		REPORT MADE BY JOHN HENRY DOYLE	TYPED BY mb
		CHARACTER OF CASE UNAUTHORIZED PUBLICATION OR USE OF COMMUNICATIONS	

SYNOPSIS:

ADA BIRNS, NY County, advised that Notice of Appeal has been filed and after briefs are filed, argument will probably be heard in March or April, 1957.

- P* -

DETAILS:

On February 25, 1957, SA TERENCE F. MC SHANE contacted Assistant District Attorney HAROLD BIRNS concerning instant case. Mr. BIRNS advised him that the Notice of Appeal had been filed by BROADY'S attorneys, but that the briefs have not yet been filed. BIRNS pointed out that the appeal would probably be argued in late March or early April, 1957, and that he would keep this office advised of all action.

- P* -

APPROVED <i>[Signature]</i>	SPECIAL AGENT IN CHARGE	DO NOT WRITE IN SPACES BELOW	
COPIES MADE ② - Bureau (139-149) 2 - New York (139-10) <i>cc - AAS along by Form 6-94 F. This is re-issued for your information. 3-4-57, H+M/stt</i>		139-149-91	RECORDED - 40
		3 MAR 4 1957	EX-108

53 MAR 12 1957

NY 139-10

LEAD

NEW YORK

At New York, New York

Will maintain contact with ADA BIRNS.

REFERENCE: Report of SA JOHN HENRY DOYLE, 12/28/56, NY.

ADMINISTRATIVE PAGE

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE 4/12/57	INVESTIGATIVE PERIOD 4/10, 11/57
TITLE OF CASE JOHN G. BROADY, wa; ET AL		REPORT MADE BY TERENCE F. MC SHANE	TYPED BY pam
		CHARACTER OF CASE UNAUTHORIZED PUBLICATION OR USE OF COMMUNICATIONS	

SYNOPSIS: **ADA HAROLD BIRNS, NY County, advised BROADY's appeal brief has been filed and that the brief to be filed by the NY County DA's Office is being prepared.**

- P* -

DETAILS:

On April 10, 1957, Assistant District Attorney HAROLD BIRNS, New York County, advised that JOHN G. BROADY's appeal brief has been filed and that the brief which is to be filed by the New York County District Attorney's Office is being prepared. Mr. BIRNS stated that a date has not been set for arguing, however, he will advise the New York Office as soon as this date has been determined.

APPROVED <i>[Signature]</i>	SPECIAL AGENT P* IN CHARGE	DO NOT WRITE IN SPACES BELOW	
COPIES MADE ②-Bureau (139-149) 2-New York (139-10)		139-149-92	RECORDED-38
		EX-117	EX-117
		17	
		12 APR 15 1957	

cc-AAA & Olney
by Form 6-98 F
4-16-57, HJM/stw

71 APR 19 1957

PROPERTY OF FBI—This report is loaned to you by the FBI, and neither it nor its contents are to be distributed outside the agency to which loaned.

NY 139-10

LEAD

NEW YORK

At New York, New York

Will maintain contact with ADA BIRNS relative to BROADY's appeal.

REFERENCE

Report of SA JOHN HENRY DOYLE, dated 2/27/57, at New York.

ADMINISTRATIVE PAGE

Office Memorandum • UNITED STATES GOVERNMENT

TO : SAC, New York (Your file 139-10)

DATE: 4/4/57

FROM : Director, FBI

(Bufile and serial 139-149)

SUBJECT:

JOHN G. BROADY, WA; ET AL
Upue

Office of Origin:

1. () The deadline in this case has passed and the Bureau has not received a report. You are instructed to submit a report immediately. In the event a report has been submitted, you should make a notation of the date on which it was submitted on this letter and return it to the Bureau, Room No. 4280M

Report submitted 4/12/57

Report will be submitted

Reason for delay

(U) Surep by 4/12/57

SEARCHED	INDEXED
SERIALIZED	FILED
APR 11 1957	
FBI - NEW YORK	
Mc Lane	118

2. () Advise Bureau re status of this case.
3. () Advise Bureau when report may be expected.
4. () Surep immediately.

(Place your reply on this form and return to the Bureau. Note on the top serial in the case file the receipt and acknowledgment of this communication.)

F B I

Date: 5/21/57

Transmit the following message via AIRTEL

(Priority or Method of Mailing)

Mr. Tolson	_____
Mr. Nichols	_____
Mr. Boardman	_____
Mr. Belmont	_____
Mr. Mohr	_____
Mr. Parsons	_____
Mr. Rosen	_____
Mr. Tamm	_____
Mr. Trotter	_____
Mr. Nease	_____
Tele. Room	_____
Mr. Holloman	_____
Miss Gandy	_____

TO: DIRECTOR, FBI (139-149)

FROM: SAC, NEW YORK (139-10)

JOHN G. BROADY, wa., ET AL
UPUCRerep of SA TERENCE F. McSHANE, 4/12/57, at NY,
and Bureau 0-1 Form, 5/16/57.

Referenced pending inactive report of SA McSHANE reflects ADA HAROLD BIRNS, NY County, advised BROADY's appeal brief has been filed and that the NY County District Attorney's Office is preparing their brief.

ADA BIRNS stated no further information is available with respect to this matter, however, he will advise the NYO as soon as the NY County District Attorney's brief has been filed.

In view of fact no additional information available report will not be submitted, however, liaison being maintained so that the NYO will be advised of further developments in this case.

KELLY

3 - Bureau (139-149)
1 - New York (139-10)

139-141-93

Mr. Rosen

RECORDED-59

TFMcS:imcl (#5)
(5)

62 MAY 24 1957

Approved: _____
Special Agent in Charge

Sent _____ M Per _____

Office Memorandum • UNITED STATES GOVERNMENT

TO : SAC, New York (Your file 139-10)

DATE: 5/16/57

FROM : Director, FBI

(Bufile and serial 139-149)

John B. Broady WA, ET AL

SUBJECT:

UPUC

Office of Origin:

1. () The deadline in this case has passed and the Bureau has not received a report. You are instructed to submit a report immediately. In the event a report has been submitted, you should make a notation of the date on which it was submitted on this letter and return it to the Bureau, Room No. 4240.
- full*
bm
- Airtel*
Report submitted *P* rpt. submitted 4/12/57 - NO ADDITIONAL INFO.*

Report will be submitted

Reason for delay

2. () Advise Bureau re status of this case.
3. () Advise Bureau when report may be expected.
4. (✓) Surep immediately. *by 5/23/57.*

(Place your reply on this form and return to the Bureau. Note on the top serial in the case file the receipt and acknowledgment of this communication.)

SEARCHED	INDEXED
SERIALIZED	FILED
MAY 17 1957	
FBI NEW YORK	
<i>T. Mc</i>	<i>Mc</i>

F B I

Date: 9/26/57

Transmit the following in _____
(Type in plain text or code)Via AIRTEL _____
(Priority or Method of Mailing)

Mr. Tolson	_____
Mr. Nichols	_____
Mr. Boardman	_____
Mr. Belmont	_____
Mr. Mohr	_____
Mr. Parsons	_____
Mr. Rosen	_____
Mr. Tamm	_____
Mr. Trotter	_____
Mr. Nease	_____
Tele. Room	_____
Mr. Holloman	_____
Miss Gandy	_____

TO : DIRECTOR, FBI (139-149)
 FROM : SAC, NEW YORK (139-10)
 SUBJECT: JOHN G. BROADY, wa, ET AL
 UPUC

Re Bu 0-1 form, 9/24/57.

JOHN CLEARY, NY County District Attorneys Office,
 advised on 9/26/57 arguments on BROADY's appeal have been
 scheduled for January, 1958, term of court. The NYO
 will follow this matter and keep the Bureau advised.

POWERS

③ - Bureau (139-149)
 1 - New York (139-10)

TFM:htc
 (5)

RECORDED - 25

EX - 137

SEP 28 1957

Approved: _____
 Special Agent in Charge

Sent _____ M Per _____

68 OCT 2 1957 7211

Cont. and
Office Memorandum • UNITED STATES GOVERNMENT

TO : SAC, New York

(Your file 139-10)

DATE: 8-29-57

T 10-1

FROM : Director, FBI

(Bufile and serial 139-149)SUBJECT: John G. Broady, wa.; ETAL
UPUC

Office of Origin:

1. () The deadline in this case has passed and the Bureau has not received a report. You are instructed to submit a report immediately. In the event a report has been submitted, you should make a notation of the date on which it was submitted on this letter and return it to the Bureau, Room No. 4850

9-20
Feb
OW

Report submitted

Report will be submitted

Reason for delay

no change in status

2. (x) Advise Bureau re status of this case.
3. () Advise Bureau when report may be expected.
4. () Surep immediately.

(Place your reply on this form and return to the Bureau. Note on the top serial in the case file the receipt and acknowledgment of this communication.)

0-1 to NY
#2 9-24-57

Office Memorandum • UNITED STATES GOVERNMENT

TO : SAC, New York

(Your file 139-10)

DATE: 7-17-57

FROM : Director, FBI

(Bufile and serial 139-149)

SUBJECT: John G. Broady, wa.; ETAL
UPUC

Office of Origin:

1. () The deadline in this case has passed and the Bureau has not received a report. You are instructed to submit a report immediately. In the event a report has been submitted, you should make a notation of the date on which it was submitted on this letter and return it to the Bureau, Room No. 4200.

Report submitted

Report will be submitted

Reason for delay ADA + Biens ADVISED NO

change in STATUS - He will advise of any change

3-13-58 NY 0-1
Ftd. Aug 14, 57No change in date
Ada Hard
Biens, NY County
will advise of
development
M. J. S.

2. (X) Advise Bureau re status of this case.
3. () Advise Bureau when report may be expected.
4. () Surep immediately.

(Place your reply on this form and return to the Bureau. Note on the top serial in the case file the receipt and acknowledgment of this communication.)

0-1 TO NY
#2 8/6/57
HUM/OTC

NY 0-1 8/6/57
see 8/14/57

U.S. GOVERNMENT PRINTING OFFICE: 1956-O-377906

see
ack.

Office Memorandum • UNITED STATES GOVERNMENT

TO : SAC, New York (Your file 139-10)

DATE: 6/4/57

FROM : Director, FBI (Bufile and serial 139-149)

JOHN G. BROADY, WA; ET AL

SUBJECT:

UPUC

Office of Origin:

1. () The deadline in this case has passed and the Bureau has not received a report. You are instructed to submit a report immediately. In the event a report has been submitted, you should make a notation of the date on which it was submitted on this letter and return it to the Bureau, Room No. 4268

Report submitted _____

Report will be submitted _____

Reason for delay: Pen/Rep 4/12/57 - NO change in status;

Ass't. District Atty. A. Biens will advise NYO of developments.

2. () Advise Bureau re status of this case.
3. () Advise Bureau when report may be expected.
4. () Surep immediately.

(Place your reply on this form and return to the Bureau. Note on the top serial in the case file the receipt and acknowledgment of this communication.)

SAC, New York (139-10)

January 13, 1958

Director, FBI

JOHN C. BROADY, was., et al.
UPUC

Re your airtel dated September 26, 1957.

Referenced airtel advised arguments on
subjects' appeal are scheduled for January, 1958.

Advise the Bureau of the status of the
subjects' case.

John C. Broady

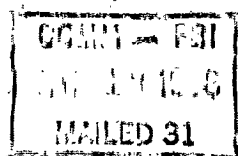
RFS:bhg
(4)

SE 41

131-149-95

2 JAN 14 1958

RECORDED - 47



53 JAN 17 1958

MAIL ROOM

FBI

Date: 1/20/58

Transmit the following in _____
(Type in plain text or code)Via AIRTEL _____
(Priority or Method of Mailing)

TO : DIRECTOR, FBI
FROM : SAC, NEW YORK (139-10)
SUBJECT: JOHN G. BROADY, was.
ET AL
UPUC

Re Bu memo 1/13/58. 139-149-75

Assistant District Attorney HAROLD BIRNS, New York County, advised on 1/17/58, that the subject's appeal is still scheduled to be argued during this month. BIRNS stated considerable difficulty has arisen with respect to the drawing of final papers for the appeal in this matter, however, he does expect the appeal to be argued as scheduled.

BIRNS will advise the NYO of pertinent developments and the Bureau will be immediately advised.

POWERS

RECORDED - 77

12 JAN 21 1958

3- Bureau
1- New York (139-10)

TFM:ptp
(5)

EX - 135

Approved: 63-30
Special Agent in Charge

Sent _____ M Per _____

Office Memorandum • UNITED STATES GOVERNMENT

TO : DIRECTOR, FBI (139-149)

DATE: 3/4/58

FROM : SAC, NEW YORK (139-10)

SUBJECT: JOHN G. BROADY, was.;
ET AL
UPUC

ReNYairtel, dated 1/20/58.

Assistant District Attorney HAROLD BIRNS, NY County, advised on 2/25/58, that BROADY's appeal has been rescheduled to be argued during March, 1958. BIRNS stated the NY County District Attorney's appeal brief is about to be completed, and, therefore, the appeal should be argued during March. BIRNS said he advised the NYO of any pertinent developments.

2- Bureau (139-149)
1- New York (139-10)

FFM:pms
(3)

*NY 0-1 2/27
While submitted 2/27
NY County District Attorney's appeal
is argued in March 1958
3/11/58*

EXP. PROC.

REC-10
EX-126
139-149-97
12 MAR 10 1958

237
MAR 10 1958

Office Memorandum • UNITED STATES GOVERNMENT

TO : DIRECTOR, FBI (139-149)

DATE: 4/8/58

FROM : SAC, NEW YORK (139-10)

SUBJECT: JOHN G. BROADY, was. ET AL
UPUC

Assistant District Attorney HAROLD BIRNS,
NY County, advised BROADY's appeal was argued on 4/2/58,
and that a decision on the appeal is expected within one
month. NYO in contact with BIRNS, and will advise Bureau
of decision.

2- Bureau (139-149)
1- New York (139-10)

TFMcS:pms
(3)

REC-82

139-149-98
15 APR 10 1958

EX-135

64 APR 14 1958

SAC, New York (139-10)

5/20/58

REC-24

Director, FBI (139-149)

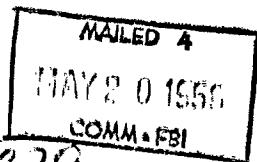
99
JOHN G. BROADY, wa., et al.
UPUC

Reurairtel 5/14/58.

Submit a report setting forth the New York State Supreme Court's opinion in the case against subject. If a written opinion has been handed down, obtain and submit two copies to the Bureau as enclosures to your report. Follow any further action in connection with this case and advise the Bureau.

RFS:AOB
(4)

Tolson _____
Nichols _____
Boardman _____
Belmont _____
Mohr _____
Parsons _____
Rosen _____
Tamm _____
Trotter _____
Nease _____
Tele. Room _____
Holloman _____
Gandy _____



1270
52 MAY 26 1958

"MAIL ROOM" ✓

FBI

Date: 5/14/58

Transmit the following in _____
(Type in plain text or code)Via AIRTEL _____
(Priority or Method of Mailing)

TO: DIRECTOR, FBI (139-149)

FROM: SAC, NEW YORK (139-10)

JOHN G. BROADY, wa; ET AL
UFUC

Assistant District Attorney HAROLD BIRNS, New York County, advised BROADY's conviction was unanimously affirmed by Appellate Division, New York Supreme Court. BIRNS said BROADY's counsel has 30 days to file notice of appeal with the Court of Appeals, and he anticipates this appeal will be filed. BIRNS stated BROADY will remain on \$15,000.00 bond pending further action. NY following.

POWERS

EX-102

*Let to NY
5-24-58
R-75. mm*

3-Bureau (139-149)
1-New York (139-10)

TFM:mzm
(5)

REC-24

139-149-99

MAY 15 1958

6-21

Approved: *[Signature]*
Special Agent in Charge

Sent _____ M Per _____

FEDERAL BUREAU OF INVESTIGATION

Reporting Office NEW YORK	Office of Origin NEW YORK	Date 6/4/58	Investigative Period 5/21; 9/26/57; 1/17, 20; 2/25; 3/4; 4/8; 5/14, 21; 6/2, 8/58
TITLE OF CASE JOHN G. BROADY, wa., et al.		Report made by JOHN HENRY DOYLE	Typed By: sab
		CHARACTER OF CASE UNAUTHORIZED PUBLICATION OR USE OF COMMUNICATIONS	

Synopsis:

BROADY's conviction was unanimously affirmed by the Appellate Division of NY Supreme Court. His counsel was granted leave to appeal further to the Court of Appeals in the fall.

- P* -

DETAILS

On May 21, 1957, SA TERENCE F. Mc SHANE contacted Assistant District Attorney HAROLD BIRNS, New York County, and was advised that BROADY's appeal brief had been filed and that the New York County District Attorney's Office was preparing to file the brief.

On September 26, 1957, JOHN CLEARY of the District Attorney's Office advised that arguments on the BROADY appeal were scheduled for the January, 1958, term of court.

Approved <i>[Signature]</i>	Special Agent in Charge	Do not write in spaces below	
Copies made: ② - Bureau (139-149) 2 - New York (139-10)		139-149 - 108	REC- 21
		10	
		18 JUN 10 1958	EX-101

ICC: AAG CRIMINAL DIVISION
FORM 6-94 E 6-9-58

70 JUN 16 1958

STAT SECT.

NY 139-10

On January 17, 1958, Assistant District Attorney BIRNS advised Agent Mc SHANE that the appeal had still not been argued. On February 25, 1958, Assistant District Attorney BIRNS advised Mc SHANE that the appeal was scheduled for the March term of court. On April 8, 1958, Assistant District Attorney BIRNS advised that the appeal was argued on April 2, 1958, and that a decision on the appeal was expected within one month. On May 14, 1958, Assistant District Attorney BIRNS advised SA Mc SHANE that BROADY's conviction was unanimously affirmed by the Appellate Division of the New York State Supreme Court and that he was given thirty days to file notice of appeal. His bond was continued in the amount of \$15,000 pending further action.

On June 2, 1958, Assistant District Attorney BIRNS advised SA JOHN HENRY DOYLE that subsequent to his conversation with SA Mc SHANE, BROADY's counsel had applied to the Court of Appeals for leave to appeal to the Court of Appeals and that that leave was granted and that it is expected this appeal will take place in the fall of 1958, although a definite date has not been set. Mr. BIRNS stated that in unanimously affirming BROADY's conviction, the Appellate Division did not hand down a written decision.

- P* -

Office Memorandum • UNITED STATES GOVERNMENT

TO : SAC, New York

(Your file 139-10)

DATE: 5-6-58

FROM : Director, FBI

(Bufile and serial 139-149)

T-6-18

SUBJECT: JOHN G. BROADY, was.;
ET AL
UPUC

Office of Origin:

1. () The deadline in this case has passed and the Bureau has not received a report. You are instructed to submit a report immediately. In the event a report has been submitted, you should make a notation of the date on which it was submitted on this letter and return it to the Bureau, Room No. 4440.

Report submitted _____

Report will be submitted _____

Reason for delay ADA H. Biens nyCOUNTY ADVISED decision on subject's
Appeal has not been handed down as yet.

SEARCHED _____	INDEXED _____
SERIALIZED _____	FILED _____
MAY 8 1958	
FBI - NEW YORK	

2. (x) Advise Bureau re ~~status of this case~~ subject's appeal.
3. () Advise Bureau when report may be expected.
4. () Surep immediately.

(Place your reply on this form and return to the Bureau. Note on the top serial in the case file the receipt and acknowledgment of this communication.)

Office Memorandum • UNITED STATES GOVERNMENT

TO : SAC, New York

(Your file 139-10)

DATE: 4-8-58

FROM : Director, FBI

(Bufile and serial 139-149)

SUBJECT: JOHN G. BROADY, was.;
ET AL
UPUCOffice of Origin: 5-6
5-19

1. () The deadline in this case has passed and the Bureau has not received a report. You are instructed to submit a report immediately. In the event a report has been submitted, you should make a notation of the date on which it was submitted on this letter and return it to the Bureau, Room No. 1250

Report submitted _____

Report will be submitted _____

Reason for delay SUBJECT'S APPEAL has been

ARGUED & DECISION EXPECTED WITHIN

TWO WEEKS TO A MONTH. NYO IN CONTACT
WITH ADA H. BIENS & WILL ADVISE.

SEARCHED	INDEXED
SERIALIZED	FILED
50 APR 10 1958	
FBI - NEW YORK	

2. (x) Advise Bureau re status of this case's subjects appeal.

3. () Advise Bureau when report may be expected.

4. () Surep immediately.

(Place your reply on this form and return to the Bureau. Note on the top serial in the case file the receipt and acknowledgment of this communication.)

0-1 TO NY
IF 2 SUBJECTS APPEAL
5-6-58

Office Memorandum • UNITED STATES GOVERNMENT

TO : DIRECTOR, FBI (139-149)

DATE: 6/4/58

FROM : SAC, NEW YORK (139-10)

SUBJECT: JOHN G. BROADY, wa., et al.
UPUC

Enclosed herewith are two copies of the report of
SA JOHN HENRY DOYLE, dated and captioned as above at NY.

REFERENCES

Report of SA TERENCE F. Mc SHANE, at NY, 4/12/57.
NY airtels to Bureau 5/21; 9/26/57; 1/20; 3/4; 4/8; 5/14/58.
Bulets to NY 1/13/58 and 5/20/58.

ADMINISTRATIVE

The period in instant report is lengthy because the
only activity in this case was to maintain contact with ADA
BIRNS of the NY District Attorney's Office and this contact
was to ascertain the condition of BROADY's appeal against
his conviction. This appeal was not acted upon by the Appellate
Division of the Supreme Court, of the State of New York, until
recently and for that reason no report was submitted in instant
matter.

EX-101

REC-21 / 37 - 147 - 101

EX-101

ENCLOSURE

- ② - Bureau (139-149) (Encls. 2)
2 - New York (139-10)

JHD:sab
(4)

70 JUN 16 1958

FBI

Date: 7/3/58

Mr. Tolson	_____
Mr. Boardman	_____
Mr. Belmont	_____
Mr. Mohr	_____
Mr. Nease	_____
Mr. Parsons	_____
Mr. Rosen	_____
Mr. Tamm	_____
Mr. Trotter	_____
Mr. W.C. Sullivan	_____
Tele. Room	_____
Mr. Holloman	_____
Miss Gandy	_____

Transmit the following in PLAIN TEXT
(Type in plain text or code)

Via AIRTEL
(Priority or Method of Mailing)

TO: DIRECTOR, FBI (139-149)

FROM: SAC, NEW YORK (139-10)

SUBJECT: JOHN G. BROADY, wa.
UPUC

Assistant District Attorney HAROLD BIRNS, New York County, advised on July 3, 1958, that BROADY's appeal is scheduled to be argued before the Court of Appeals of the State of New York during the Fall term and that the decision on the arguments will probably not be handed down before October of this year.

The New York Office will maintain liason with Assistant District Attorney BIRNS in order that both the Bureau and the Department will be promptly advised.

POWERS

EX-124

REC-421 23

139-149-102
8 JUL 8 1958

- ③ - Bureau (139-149)
1 - New York (139-10)

TFM:paf
(5)

57 JUL 10 1958

Approved: _____
Special Agent in Charge

Sent _____ M Per _____

Office Memorandum • UNITED STATES GOVERNMENT

TO : SAC, New York

(Your file 139-10)

DATE: 6/25/58

FROM : Director, FBI

(Bufile and serial 139-149)

JOHN G. BROADY, wa., et al.

SUBJECT: UPUC

Office of Origin: New York

1. () The deadline in this case has passed and the Bureau has not received a report. You are instructed to submit a report immediately. In the event a report has been submitted, you should make a notation of the date on which it was submitted on this letter and return it to the Bureau, Room No. 1260.

~~Report submitted~~ Airtel SUBMITTED 7/3/58 RE: CONTACT with

Report will be submitted ADA H. B. [unclear] THAT requirements on

Reason for delay Appeal put off

Until Fall Term, my State

Court of Appeals.

SEARCHED	INDEXED
SERIALIZED	FILED
JUL 27 1958	
FBI - NEW YORK	
The Share Times	

2. () Advise Bureau re status of ~~Broady's~~ Broady's appeal.
3. () Advise Bureau when report may be expected.
4. () Surep immediately.

(Place your reply on this form and return to the Bureau. Note on the top serial in the case file the receipt and acknowledgment of this communication.)

1 - Cotter
1 - Schaller

**Assistant Attorney General
Internal Security Division**

June 24, 1958

Director, FBI

**JESUS DE GALINDEZ - SUAREZ
MISCELLANEOUS - INFORMATION CONCERNING
(NATIONALIST INTELLIGENCE)**

Reference is made to my letter dated June 19, 1958.

On June 18, 1958, John G. Broady, 19 Rector Street, New York City, was interviewed by our New York City Office and advised as follows:

Broady stated that Horace Schmahl was employed by him in the late 1940s and then started his own business in the late 1940s or early 1950s. Broady said he has had no business relationship with Schmahl since he, Broady, was arrested in 1955 in connection with wire tapping activities. He said he may have met John Joseph Frank, possibly in the late 1940s, and believes Frank was associated with Schmahl. He also believes he may have met Irving Lieberman, "New York Post" reporter, since he met many reporters during the court proceedings in connection with his wire tapping activities. However, Broady claimed to have absolutely no knowledge of the Galindez case other than press accounts and stated that he was never approached by Frank, Schmahl, or anyone else in connection with a plan to surveil Galindez or tap the latter's telephone and had never told anyone that he was approached in connection with such a scheme.

On June 19, 1958, Charles Lester, 79 Mt. Vernon Avenue, Irvington, New Jersey, was interviewed by our New York City Office. Lester stated he was employed with John Broady from 1938 to 1956 and that in May, 1956, his detective license was revoked by New York State on charges that Lester was a "front" for Broady who was a convicted wire tapper. He recalled that from about 1947 to 1949 Schmahl had been employed by Broady.

Tolson _____
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Belmont _____
Mohr _____
Parsons _____
Rosen _____
Tamm _____
Trotter _____
Nease _____
Tele. Room _____
Holloman _____
Gandy _____

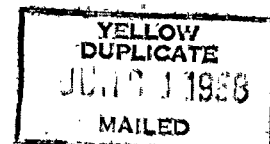
1 - [] (Frank)
1 - 97-3425 (Schmahl)
② - 139-149 (Broady)

RDC:cvg

60 JUL 1 1958

MAIL ROOM ☐

139-149 -
NOT RECORDED
199 JUN 26 1958



ORIGINAL COPY

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b7E

~~Classified~~

in

Salinder

Case

**Assistant Attorney General
Internal Security Division**

and had handled negligence cases. Lester said he had no knowledge as to whether or not Schmahl engaged in any wire tapping activities and he claimed that he has never done any work for Schmahl directly although he has handled some investigations for Irving Karmitz who, Lester has recently learned, has done some work for Schmahl's firm.

Lester said he may have met Irving Lieberman in 1956 prior to his leaving Broady. He recalled that a reporter had been in Broady's office in connection with a series of articles, subject unknown, and this reporter was being assisted by John F. Kenny, also an employee of Broady's at that time. Lester claimed to have no knowledge of the Galindez case other than the press accounts and said he had never been approached by Schmahl or anyone else to surveil Galindez or tap the latter's telephone and had never told any reporter or anyone else that he had been approached in connection with such a scheme. Lester claimed that John Joseph Frank is unknown to him and he did not recognize a photograph of Frank.

You will be kept advised of any additional pertinent information received concerning this matter.

1 - Assistant Attorney General
Malcolm Anderson

1 - Schaller Div 6
1 - Nease
1 - Cotter

Assistant Attorney General
Internal Security Division

June 19, 1958

Director, FBI

JESUS DE GALINDEZ - SUAREZ
MISCELLANEOUS - INFORMATION CONCERNING
(NATIONALITIES INTELLIGENCE)

Reference is made to my letter dated June 11, 1958, concerning an article carried in the June 4, 1958, issue of the "New York Post" written by Irving Lieberman and Mitchell Levitan.

On June 13, 1958, Inspector Francis Robb of the New York City Police Department (NYCPD) furnished the following additional information concerning the interview of Lieberman and Levitan conducted by the NYCPD on June 6, 1958:

The original source in this matter is said to be an American citizen from New York who has not been mentioned heretofore in connection with the Galindez case. Reportedly, the two men who approached this source were John Joseph Frank and Horace Schmahl. Allegedly, the source, who refused a proposition to surveil Galindez, was subsequently told by Schmahl that he had been a fool not to have accepted this assignment since it had been successful and lucrative for the persons involved. According to Inspector Robb, Lieberman indicated the source is a private detective with office space on 42nd Street near Vanderbilt Avenue, New York City.

Based on this limited identifying data, our New York Office felt that the source referred to could be Irving Karnitz, a private detective located at 110 42nd Street, New York City, who was previously interviewed by the New York Office in connection with our current investigation of Schmahl and who has admitted handling investigations for Schmahl in the past. Karnitz was originally interviewed by our New York Office on May 1, 1958, at which time he denied any knowledge of

100-375346

(Frank)
-97-3425 (Schmahl)
-139-149 (Beady)

RDC:cug
(10)

JUN 20 1958
MAIL ROOM ☐

139-149-
NOT RECORDED
170 JUN 25 1958

Tolson _____
Nichols _____
Boardman _____
Belmont _____
Mohr _____
Parsons _____
Rosen _____
Tamm _____
Trotter _____
Nease _____
Tele. Room _____
Holloman _____
Gandy _____

ORIGINAL COPY
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b7E
100-375346-1175

Handled
in
Galindez
Case

**Assistant Attorney General
Internal Security Division**

the Galindex case or any acquaintance with Frank. Karnitz was reinterviewed on June 13, 1958, and again denied any knowledge of the Galindex matter other than what he had read in the press. He recalled seeing "New York Post" reporter Lieberman about January, 1958, when visiting Schmahl's office and said that he was personally contacted by Lieberman shortly thereafter. Karnitz claimed he told Lieberman on the latter occasion that he had no knowledge of the Galindex case and that he never said anything about having been approached by anyone to shadow Galindex, which statement he would be willing to repeat under oath.

On June 17, 1958, Lieberman was interviewed by our New York Office concerning the allegations contained in the June 4, 1958, "New York Post" article. Lieberman said that sometime in the Spring of 1957, while he was talking to his source, the latter casually mentioned that he knew two men who could break the Galindex case, identifying them as John Frank and Horace Schmahl. Lieberman said he was not assigned to the Galindex case at that time and merely made a note of this information. He was sure that this conversation with the source occurred prior to the indictment of Frank or any publicity linking Frank to the Galindex-Murphy case. According to Lieberman, he recontacted his source in December, 1957, at the time Schmahl's motion to quash a grand jury subpoena was receiving newspaper publicity. Reportedly, the source advised at this time that in 1955 Schmahl and Frank, who were known to the source, came to the source's office with a proposition to shadow Galindex in preparation for a scheme to shanghai him. The source allegedly turned down this offer after his wife had advised against it.

The source also reportedly told Lieberman that about a day or two after the disappearance of Galindex, Schmahl contacted him and said that the source had been a

**Assistant Attorney General
Internal Security Division**

fool for not having participated in this venture since they had been well paid for this job and since the Dominican Republic would be eternally grateful to them. Following this contact with the source in December, 1957, Lieberman interviewed Schmahl who categorically denied he was implicated in any way in the disappearance of Galindex or that he told anyone he was so involved.

Lieberman said that following the release of the Ernst report on the Galindex case, he recontacted the source concerning the possibility of printing the source's story. Allegedly, the source agreed only to release that portion of the story which is quoted in my referenced letter of June 11, 1958; however, the source suggested that Lieberman talk to Irving Karmitz on the grounds that Karmitz, who was known to be an associate of Schmahl's, might have also been approached by Schmahl in this matter. Lieberman said that he had interviewed Karmitz but the latter had denied any knowledge whatever of the Galindex matter.

Lieberman further advised that he had been questioned by representatives of the NYCPD and the New York District Attorney's Office concerning this matter and, at their request, has recontacted his source in an effort to obtain the latter's permission to disclose his identity. According to Lieberman, the source refused to have his identity revealed and pointed out he did not wish to become involved in this matter. Lieberman expressed the belief that the source was reliable and described the source as a businessman, but declined to further elaborate in this connection. The source reportedly had advised Lieberman that he has not been interviewed by police authorities or anyone else concerning his knowledge of this matter.

Our New York Office is interviewing Charles Lester and John G. Broady, both of whom are private detectives at New York City who are believed to be

**Assistant Attorney General
Internal Security Division**

acquainted with Schmah and with Karmitz and one of whom may possibly be identical with the source referred to by Lieberman. The Internal Security Division and the Criminal Division will be promptly advised concerning the results of these interviews, following which the Internal Security Division may wish to consider



**1 - Assistant Attorney General
Malcolm Anderson**

b3

SAC, New York (139-10)

July 17, 1958

EX-124 Director, FBI (139-149)

REC-67 139-149-103
JOHN G. BROADY, wa.
UPUC

Reurtel 7/12/58.

Submit the facts of this complaint in
a report suitable for dissemination to the Criminal
Division, Department of Justice, to reach the Bureau
no later than 7/24/58.

HJM:swb
(4)

147
JUL 24 1958

MAIL ROOM ☒

COMM - FBI
JUL 17 1958
MAILED 19

✓ FEP
GAB

dm

FEDERAL BUREAU OF INVESTIGATION
U. S. DEPARTMENT OF JUSTICE
COMMUNICATIONS SECTION

JUL 12 1958

TELETYPE

Mr. Tolson	_____
Mr. Boardman	_____
Mr. Belmont	_____
Mr. Mohr	_____
Mr. Nease	_____
Mr. Parsons	_____
Mr. Rosen	_____
Mr. Tamm	_____
Mr. Trotter	_____
Mr. W.C. Sullivan	_____
Tele. Room	_____
Mr. Holloman	_____
Miss Gandy	_____

Selafin

URGENT 7-12-58 7-04 WPQ

TO DIRECTOR

FROM SAC, NEW YORK 1P

JOHN G. BROADY., UPUC, CHRISTINE ORVIS, FOUR HUNDRED EAST FIFTY NINTH STREET, NEW YORK CITY, ADVISED HER TELEPHONE IS BEING QUOTE TAPPED UNQUOTE BY A QUOTE STEVE BROADY UNQUOTE, QUOTE PROFESSIONAL WIRE TAPPER UNQUOTE IN ORDER TO OBTAIN DEROGATORY INFORMATION REGARDING HER, AS SHE HAS STARTED DIVORCE PROCEEDINGS AGAINST HER HUSBAND, CLAY ORVIS. SHE SAID THIS MATTER HAS BEEN REPORTED TO THE TELEPHONE COMPANY, BUT THE DAY THEY WERE TO CHECK THE LINES, THE STRANGE NOISES SHE HAD BEEN HEARING DURING HER TELEPHONE CONVERSATIONS CEASED. SEVERAL DAYS LATER, THESE NOISES REOCCURRED. SHE SAID SHE WOULD AGAIN REPORT IT TO THE TELEPHONE COMPANY. SHE ADVISED BROADY HAS BEEN SEEN WITH HER HUSBAND AND QUOTE FRIENDS UNQUOTE HAVE TOLD HER THAT HER HUSBAND HAS HIRED BROADY. SHE ADDED THIS MATTER HAS NOT BEEN REPORTED TO THE NEW YORK CITY POLICE DEPARTMENT.

END AND ACK PLS

8-07 PM OK FBI WA JG

TU DISC

Mr. Rosen

18 JUL 22 1958

Let NY 7/17/58 dm

T-KM

E

4260

EX-124 REC-67 139-149-103

FEDERAL BUREAU OF INVESTIGATION

Reporting Office NEW YORK	Office of Origin NEW YORK	Date 7/23/58	Investigative Period 7/3,12,22/58
TITLE OF CASE JOHN G. BROADY, wa. ET AL		Report made by TERENCE F. MC SHANE	Typed By: GPP
		CHARACTER OF CASE UNAUTHORIZED PUBLICATION OR USE OF COMMUNICATIONS	

Synopsis:

BROADY's appeal scheduled to be argued during fall term before Court of Appeals, State of NY. CHRISTINE ORVIS suspects that BROADY is tapping her telephone at request of her husband, CLAY ORVIS.

- P* -

DETAILS:

Assistant United States Attorney HAROLD BIRNS, New York County, advised on July 3, 1958, that BROADY's appeal is scheduled to be argued before the Court of Appeals of the State of New York during the fall term and that the decision on the arguments in this matter will probably not be handed down before October, 1958.

Liaison is being maintained with BIRNS in order that the Bureau and the Department will be promptly advised.

Approved <i>[Signature]</i>	Special Agent in Charge	Do not write in spaces below	
Copies made: 2-Bureau (139-149) 2-New York (139-10)		139-149-104	
		21 JUL 25 1958	REC- 54
			EX-108

1cc-Criminal Division
wa 6-94-H 8-1-38 rfo/jgc
50 AUG 4 1958
WBW

STAY SECT.

FEDERAL BUREAU OF INVESTIGATION
INTERVIEW REPORT

Date: 7/22/58

On July 12, 1958, CHRISTINE ORVIS, 400 East 59th Street, New York, New York, advised she has reason to believe that her telephone is being "tapped" by STEVE BROADY.

Mrs. ORVIS explained she has started proceedings to divorce her husband, CLAY ORVIS, a doctor who is assigned to and resides at the North Shore Hospital, Manhasset, Long Island, New York. Mrs. ORVIS stated she has learned from friends, whom she did not name, that her husband and his family have retained STEVE BROADY, the "professional wire tapper," to tap her telephone in order to gain information which could be used against her in divorce proceedings. Mrs. ORVIS advised about three weeks ago she noticed strange noises during her telephone conversations and she notified the telephone company of this situation. She stated that the day the telephone company was to check the lines the noises stopped, however, several days later the noises started again. Mrs. ORVIS said she would again contact the telephone company.

Mrs. ORVIS remarked that STEVE BROADY has been seen with her husband and several of her friends advised her that BROADY has contacted them regarding her husband and herself.

Mrs. ORVIS advised that she has not reported this matter to the New York City Police Department and is undecided whether or not to report it because she would get little satisfaction.

Mrs. ORVIS added that she once made a date to meet a friend at a particular restaurant about the time she suspected her telephone was being tapped and when she arrived at the restaurant she noticed STEVE BROADY was present.

- P* -

Interview with CHRISTINE ORVIS File # 139-10
on 7/12/58 at 400 East 59th Street, New York, New York Date Dictated: 7/22/58
by Special Agent PETER J. SOFIA/gpp

Office Memorandum • UNITED STATES GOVERNMENT

TO: *For* SAC, *new york* (Your file *139-10*) DATE: *7/25/58*FROM: Director, FBI (Bufile and serial *139-149*)SUBJECT: *John G. Broady* *Rebulet 7-17-58*
UPUC Office of Origin:

1. () The deadline in this case has passed and the Bureau has not received a report. You are instructed to submit a report immediately. In the event a report has been submitted, you should make a notation of the date on which it was submitted on this letter and return it to the Bureau, Room No.

Report submitted *7/23/58*

Report will be submitted

Reason for delay

SEARCHED	INDEXED
SERIALIZED	FILED
JUL 23 1958	
FBI - NEW YORK	
<i>John G. Broady</i>	

2. () Advise Bureau re status of this case.

3. () Advise Bureau when report ~~may be expected~~ *was sent.*

4. () Surep immediately.

(Place your reply on this form and return to the Bureau. Note on the top serial in the case file the receipt and acknowledgment of this communication.)

A. H. Belmont

- 1 - Belmont
- 1 - Donahoe
- 1 - D. E. Moore
- 1 - Catter

July 25, 1958

**JESUS DE GALINDEZ-SUAREZ
MISCELLANEOUS - INFORMATION CONCERNING
(NATIONALITIES INTELLIGENCE)**

Article appeared in "New York Post" 6/4/58 written by Irving Lieberman and Mitchel Levitas alleging that "authoritative American source" claimed he was approached in 1955 to shadow Galindez in preparation for scheme to abduct him to Dominican Republic. New York Office (NYO) and NYCPD have conducted extensive inquiries in effort to identify source of "Post" article, including several interviews of Lieberman and Levitas and interviews of a number of private detectives, newspapermen, and other individuals in New York City (NYC) area who were suspected of being "Post" source. Lieberman and Levitas have steadfastly refused to identify source, although Lieberman (who supposedly originally developed the source) has furnished some additional information including allegation that source had been approached by John Frank and Horace Schmahel and several miscellaneous items re alleged source's background and contacts. Departmental Attorney William Hundley interviewed Lieberman on 7/15/58, but [redacted]

[redacted] Based on interview Hundley speculated source might be Jacob Zuckerman, former NYCPD officer who is known to be acquainted with both Schmahel and Frank. Zuckerman had previously been interviewed by Bureau regarding Galindez and related matters with negative results; however, he was reinterviewed on 7/18/58 at which time he denied knowing Lieberman or Levitas or ever having been approached by anyone regarding Galindez.

By airtel 7/23/58, NYO has advised Agents handling Galindez and related matters believe there is possibility Lieberman's source may be John O. Broady, convicted wire tapper. Broady was previously interviewed 6/18/58 as possible source of "Post" story at which time he admitted acquaintance with Schmahel and was uncertain as to having possibly previously met Frank and Lieberman. During this interview, Broady claimed to have absolutely no knowledge of Galindez case and stated he was never approached by Frank, Schmahel or anyone else in connection with any plan to surveil Galindez or tap his phone. Despite the results of this prior interview, NYO speculates Broady may be

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(Frank)
(Schmahel)
(Broady)

139-149
NOT RECORDED
145 JUL 30 1958

INITIALS ON ORIGINAL

MAIL ROOM ☐
(8) 53 JUL 31 1958

ORIGINAL FILED IN 63

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~~Classified~~
in
Salindeg
Case

Memo Donahoe to Belmont
Re: JESUS DE GALINDEZ-SIARREZ
100-375346

"Post" source based on three factors:

1. Broady and Schmahl who formerly were connected in detective business reportedly have had "falling out" in recent years. NYO surmises Broady is no doubt aware of Schmahl's rumored involvement in Galindez case and may have planted story with Lieberman in order to further embarrass Schmahl.

2. During prior interview on 6/18/58, Broady voluntarily suggested name of Robert Maheu, former Bureau Agent, now operating private detective agency in Washington, D. C. as individual who might have some knowledge of matter. [redacted] b3

[redacted] NYO points out that during interview with Hundley on 7/15/58 Lieberman said his source had told him a Washington detective, Robert Maheu, had been hired to install wire taps in connection with surveillance of Galindez.

3. During interview with NYO 6/17/58, Lieberman noted that his source knew that Schmahl had a brother-in-law named Kulcear, who was a doctor. NYO points out that Broady's 1949 personal telephone book, copies of which are available in the wire tapping file concerning Broady, includes the name Ruth (Dr. John) Kulcear.

OBSERVATIONS:

NYO has made no recommendations based foregoing deductions. While it is felt NYO has made good analysis of this situation, it is believed that its suggestion that Broady may be Lieberman's source represents sheer speculation. If Broady is, in fact, trying to embarrass Schmahl, it would seem unlikely that he would ever admit to having furnished information to "Post." Regarding Broady's mention of Maheu, this does not appear to be extraordinary in view of fact Maheu is generally known as acquaintance of Frank and, like Frank, as former FBI Agent engaged in private detective work. Concerning reference to Kulcear in Broady's telephone book, this does not appear unusual in view of Broady's long acquaintance with Schmahl. Latter is known to have referred a number of his friends and associates to Dr. Kulcear, who is Schmahl's brother-in-law.

In any event, it is not believed, in view of our prior interview of Broady on 6/18/58, that any worthwhile purpose would be served in reinterviewing him [redacted] b3

[redacted] It is believed we have conducted every reasonable effort to identify the alleged source of the "Post" article and it is not felt we should expend further effort in this regard. It appears extremely likely that the 6/4/58 "Post" story was a fabrication by Lieberman and Levitas who were seeking to

Memo Donahoe to Belmont
Re: JESUS DE GALINDEZ-SUAREZ
100-375346

capitalize on the wide-spread publicity then occurring with respect to Galindez case, Ernst report, etc.

ACTION:

None. This is for your information.

Office Memorandum • UNITED STATES GOVERNMENT

TO : DIRECTOR, FBI (139-149)

DATE: 7/23/58

FROM : SAC, NEW YORK (139-10)

SUBJECT: JOHN G. BROADY, wa.
ET AL
UPUC

Enclosed herewith are two copies of the report of SA TERENCE F. MC SHANE, dated and captioned as above, at New York.

REFERENCE

Report of SA JOHN HENRY DOYLE, 6/4/58, at NY.

LEADSNEW YORKAt New York, New York

1. Will report decision on BROADY's appeal to be handed down by Court of Appeals of the State of New York.

2. Will conduct any other investigation, if necessary, at the direction of the Bureau.

2-Bureau (139-149) (Encls. 2)
2-New York (139-10)

TFM:gpp
(4)

REC- 54

139-149-105

21 JUL 25 1958

EX-108

2 ENCLOSURES
REC-54
EX-108

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100-44260

FBI

Date: 9/29/58

Transmit the following in _____
(Type in plain text or code)Via AIRTEL _____
(Priority or Method of Mailing)

TO: DIRECTOR, FBI

FROM: SAC, NEW YORK

JOHN G. BROADY, wa, ET AL
UNAUTHORIZED PUBLICATION OR
USE OF COMMUNICATIONS

On 9/26/58, Assistant District Attorney
HAROLD BIRNS, NY County, advised that there is no change
in the status of this case and that BROADY's appeal is
scheduled to be argued during the Fall term of the Court
of Appeals, State of NY.

Liaison is being maintained with BIRNS in
order that the Bureau and the Department will be promptly
advised of developments in this case.

FOSTER

3 - Bureau (139-149) (REGULAR MAIL)
1 - New York (139-10)

TFM:DMO (#5-0)
(5)

53 OCT 2 1958

REC-21

139-149-106
2 SEP 30 1958Approved: _____
Special Agent in Charge

Sent _____ Per _____

Office Memorandum • UNITED STATES GOVERNMENT

TO

SAC,

new York

(Your file 139-10)

DATE:

9/26/58
4-18-58

FROM

Director, FBI

(Bufile and serial 139-149)

SUBJECT:

John G. Broady, wa.
*etal; 404C**Serial 7-23-58*
Office of Origin:

1. () The deadline in this case has passed and the Bureau has not received a report. You are instructed to submit a report immediately. In the event a report has been submitted; you should make a notation of the date on which it was submitted on this letter and return it to the Bureau, Room No. *5714*

Report submitted

Report will be submitted

~~Reason for delay~~ *ASST. DA Harold Biers, my County*~~STATED NO change in STATUS. Appeal REMAINS TO BE~~~~ARGUED. NYO Keeping Liaison with District Attorney's office~~

2. (1) ~~Advise Bureau re status of this case.~~ *SO THAT BUREAU will be advised when appeal is argued*
3. () Advise Bureau when report may be expected.
4. () Surep immediately.

(Place your reply on this form and return to the Bureau. Note on the top serial in the case file the receipt and acknowledgment of this communication.)

139-14

SAC, New York

October 16, 1958

Director, FBI

REC- 96

107
JOHN G. BROADY, wa.; ET AL.
UPUC

Re report of SA Terence F. McShane dated
7/23/58 at New York.

There is attached hereto a self-explanatory
memorandum dated October 14, 1958, from the Criminal
Division of the Department.

A report suitable for dissemination reflecting
the results of your investigation should be submitted to
reach the Bureau no later than October 31, 1958.

Enclosure

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59 OCT 22 1958



Office Memorandum • UNITED STATES GOVERNMENT

TO : Director, Federal Bureau of Investigation

DATE: October 14, 1958

FROM : Malcolm Anderson, Assistant Attorney General
Criminal DivisionMA:DMS:baj
82-51-35SUBJECT: John G. Broady, wa., et al - Unauthorized
Publication or Use of Communications

Reference is made to your memorandum dated August 1, 1958, concerning the captioned subject, in which you advised this Division regarding the receipt of a complaint relating to a possible violation of Title 47 USC Section 605.

It is requested that a preliminary investigation be conducted in this matter and that this Division be furnished with the results.

EX-126

REC-96

139-149-107
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007-97-100
100-15-1058

Office Memorandum • UNITED STATES GOVERNMENT

TO : DIRECTOR, FBI (139-149)

DATE: 10/30/58

FROM : SAC, NEW YORK (139-10)

SUBJECT: JOHN G. BROADY, wa; ET AL
UPUC

Re Bulet dated 10/10/58.

Numerous attempts have been made to locate and interview Mrs. CHRISTINE ORVIS, NYC, and it has been determined she will not be available until 11/3/58. A report will be submitted to reach the Bureau by 11/7/58.

EX. - 124

REC-1

2 - Bureau (139-149)
1 - New York (139-10)TFMcS:mm
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10-20-58

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Airtel

To: SAC, New York (79-131)

From: Director, FBI (100-375346)

JESUS DE GALINDEZ-SUAREZ
MISCELLANEOUS - INFORMATION CONCERNING
(NATIONALITIES INTELLIGENCE)

Reurairtel 10-15-58 with enclosures.

Unless your files contain information which would dictate otherwise, you should promptly locate and interview Armen Anderson to determine if he can corroborate information supplied by Chiariello. Following interview of Anderson, you should consider desirability of interviewing German Ornes for any pertinent information he might have regarding this matter. If you feel interview of Ornes would be profitable, you should set out appropriate lead to this effect.

1 - WFO

1 - 97-3425 (Schmah1)

1 - 139-149 (Broadu)

RDC:mtb

(10)

NOTE: Cover memo Donahoe to Belmont, same caption, dated 10-17-58, RDC:mtb.

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MAIL ROOM ☐

1 - Belmont
1 - Donahoe
1 - D. E. Moore
1 - Cotter

Assistant Attorney General
Internal Security Division

October 20, 1958

Director, FBI

JESUS DE GALINDEZ-SUAREZ
MISCELLANEOUS - INFORMATION CONCERNING
(NATIONALITIES INTELLIGENCE)

There is enclosed herewith one copy each of three memoranda, all dated October 15, 1958, which set out the results of additional inquiries conducted by our New York City Office.

Further investigation is being conducted with respect to the information furnished by William Chiariello and James J. Reilly.

A copy of this letter and one copy each of the memoranda dated October 15, 1958, are being furnished for the information of the Criminal Division.

Enclosures (3)

100-375346

1 - Assistant Attorney General - Enclosures (3)
Malcolm Anderson

1 - 97-3425 (Schmahl)
① - 139-149 (Broady)

RDC:mtb
(10)

NOTE: Cover memo Donahoe to Belmont, same caption, dated 10-17-58, RDC:mtb.

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Mr. Belmont

10-16-58

S. B. Donahoe

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JESUS DE GALINDEZ-SUAREZ
MISCELLANEOUS - INFORMATION CONCERNING
(NATIONALITIES INTELLIGENCE)

37459

By airtel 10-14-58 WFO has forwarded copy of transcript of
testimony before Federal Grand Jury.

NYO has also been furnished a copy of this transcript.

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100-375346

1 - *(Amfelt)*
① - 139-149 (Broady)
1 - 97-3425 (Schmahl)
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Memorandum to Mr. Belmont
Re: JESUS DE GALINDEZ-SUAREZ
100-375346

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A review of the Grand Jury testimony reveals [REDACTED]

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[REDACTED]
pertinent information in this regard from [REDACTED] is being brought to attention of Legat, Paris, under Schmahl caption for assistance and it is continuing inquiries with regard to this lead.

The transcript of Grand Jury testimony was furnished to WFO by Departmental Attorney Plate Cocherie and, of course, cannot be disseminated outside Bureau.

ACTION:

None. This is for information.

~~Classified~~

~~in~~
~~Salindez~~
Case

Mr. Belmont

~~SECRET~~

10-17-58

S. B. Donahoe

- 1 - Belmont
- 1 - Donahoe
- 1 - D. E. Moore
- 1 - Cotter

phs
**JESUS DE GALINDEZ-SUAREZ
MISCELLANEOUS - INFORMATION CONCERNING
(NATIONALITIES INTELLIGENCE)**

Reference my memorandum 10-13-58 concerning interview of Jacob Spolansky by NYO 10-9-58. On 10-13-58 Spolansky volunteered the following additional information to NYO:

Spolansky said about a year ago William Chiariello, head of a private detective firm at NYC, contacted him for information regarding Horace Schmahl. Chiariello stated he had been asked by Armen Anderson, attorney representing Dominican exile, German Ornes, to make inquiries regarding Schmahl. Spolansky referred Chiariello to John Broady.

On interview 10-14-58, Chiariello confirmed information given by Spolansky and advised additionally as follows. On contacting Broady, latter furnished Chiariello considerable background information regarding Schmahl and also claimed Schmahl had admitted to Broady his involvement in Galindez case. Reportedly, Broady said Schmahl had sought his assistance in investigation and surveillance of Galindez, which was being directed by Schmahl and John Joseph Frank prior to subject's disappearance (no dates given). Allegedly, Broady turned down offer despite fact Schmahl told him lucrative fee could be expected. According to Chiariello, Broady told him that Schmahl had informed Broady of circumstances surrounding Galindez's abduction. Supposedly, subject was struck on head and kidnaped in vicinity of Morningside Heights, NYC, (near Columbia University) by two men who belonged to Spanish-speaking community at NYC and who are hired on continuing basis by Dominican Republic. Galindez was bound and gagged, placed in ambulance, and driven to Zahn's Airport on Long Island where he was placed in waiting plane piloted by Gerald Murphy. Murphy then took off, ostensibly for Dominican Republic with no one else aboard other than Galindez. According to Chiariello, Broady did not furnish any other specific data, such as names of two men who allegedly kidnaped Galindez or identity of ambulance involved.

Broady also allegedly told Chiariello that Frank apparently had no knowledge of abduction of Galindez and was considerably shaken when subject disappeared. Broady supposedly said he had no reason to feel

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Enclosures

100-375346

1 - 97-3425 (Schmahl)

1 - 139-149 (Broady)

RDC:mtb

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MAIL ROOM ☐

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50 OCT 24 1958

Classified by 4417
Exempt from GDS, Category
Date of Declassification Indefinite

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ORIGINAL FILED IN 100-375346-1281

Memorandum to Mr. Belmont
Re: JESUS DE GALINDEZ-SUAREZ
100-375346

~~SECRET~~

Schmahl was involved in actual abduction but believed Schmahl probably anticipated kidnaping of subject. Reportedly, Broady told Chiariello that if he were ever questioned by authorities concerning this matter he would deny any knowledge of case.

Chiariello further advised that Anderson claimed to have met Murphy in Dominican Republic shortly after Galindez's disappearance and to have made efforts to assist Murphy to leave Dominican Republic by smuggling latter out of that country aboard a British vessel. Anderson reportedly said he had contacted Robert Blakely (phonetic), British subject, in Jamaica, British West Indies, to arrange this scheme but it fell through.

NYO also furnished results of interview on 10-14-58 of James Reilly, former employee of Schmahl's, wherein Reilly furnished information which may assist in identifying Schmahl's representative in France. We have been conducting inquiries in an effort to identify such representative.

OBSERVATIONS:

The information furnished by Chiariello, who does not appear to have any ulterior motive, makes it appear more likely than ever that Broady may have information of considerable value to this over-all investigation. As pointed out in referenced memorandum it seems fairly clear that Broady is the source of articles in the "New York Post" written by Irving Lieberman to the effect that Schmahl was involved in an investigation and surveillance of Galindez prior to subject's disappearance.

b3

[REDACTED] A possibility remains that Broady may be seeking to embarrass Schmahl, who is a business rival of Broady's and with whom Broady is reported to have a personal dispute and, that, therefore, Broady is deliberately planting false rumors concerning Schmahl's alleged involvement in Galindez case. However, it is also quite possible he did, in fact, admit to Broady his implication in this case.

Concerning account of Galindez's alleged abduction supposedly given to Broady by Schmahl, there appear to be two possible discrepancies in this story. (1) According to Schmahl's alleged story, only Murphy and Galindez were aboard plane flown by Murphy to Dominican Republic. Donald Jackson, employee at Lantana, Florida, airport, furnished information

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Memorandum to Mr. Belmont
Re: JESUS DE GALINDEZ-SUAREZ
100-375346

indicating there appeared to be more than two men in the plane.
(2) Whereas Schmahl's alleged account puts abduction of Galindez in vicinity of Morningside Heights (116th Street and vicinity), NYC, prior investigation indicates Galindez may have been abducted in vicinity of Columbus Circle (59th Street). [redacted] student at Columbia University, has advised she accompanied Galindez from University to Columbus Circle via subway on evening subject disappeared.

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ACTION:

Attached for your approval is a letter to the Internal Security Division, copy to Criminal Division, furnishing three memoranda prepared by NYO setting out the results of interviews of Spolansky, Chiariello, and Reilly.

Also attached for your approval is an airtel to NYO instructing that Anderson be located and interviewed to determine if he can corroborate the information given by Chiariello. NYO is being instructed to consider setting out lead to have German Ornes interviewed following interview of Anderson.

Under separate cover a memorandum is being directed to [redacted]

b7D

The information furnished by Reilly concerning Schmahl's contact in France is being made available to Legat, Paris, for assistance in continuing inquiries in the Schmahl investigation.

~~SECRET~~

SAC, New York

November 6, 1958

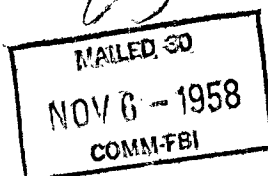
Director, FBI (139-149)

JOHN G. BROADY, wa, ET AL
UPUC

ReBulet 10/16/58, enclosed a copy of a self-explanatory memorandum dated 10/14/58, from the Criminal Division. By return communication New York is requested to advise the date a report may be expected at the Bureau.

RJG:spc
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EX - 124



REC-55

139-149-109

3 NOV 7 1958

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MAIL ROOM

FEDERAL BUREAU OF INVESTIGATION

Reporting Office NEW YORK	Office of Origin NEW YORK	Date 11/7/58	Investigative Period 10/20, 22, 24, 28, 30, 31; 11/5, 6/58
TITLE OF CASE JOHN G. BROADY, wa., ET AL		Report made by TERENCE F. MC SHANE	Typed By: mxg
		CHARACTER OF CASE UNAUTHORIZED PUBLICATION OR USE OF COMMUNICATIONS	

Synopsis:

CHRISTINE ORVIS suspects BROADY has wiretapped her telephone, but stated she has no concrete facts to back up her suspicion. LOUIS HESS, NY Telephone Co., stated he checked the telephone lines used by CHRISTINE ORVIS and could neither find a tap nor evidence of one.

- P -

Approved	Special Agent In Charge	Do not write in spaces below	
Copies made: (2) - Bureau (139-149) 2 - New York (139-10)		129-147-110	REC- 65
		20 NOV 12 1958	

60 NOV 19 1958

FEDERAL BUREAU OF INVESTIGATION
INTERVIEW REPORTDate 11/7/58

CHRISTINE ORVIS advised she was born on June 30, 1918, Philadelphia, Pennsylvania. She stated that in November, 1957, she leased Apartment 6H at 400 East 59th Street, New York, New York, from JOHN HEAWOOD, who is presently residing at the Player's Club, London, England. Mrs. ORVIS stated that at the time she leased the apartment she agreed to use and, therefore, pay all the telephone charges for the telephone in the apartment to which HEAWOOD is the subscriber. The telephone is identified as Eldorado 5-2539.

Mrs. ORVIS stated that on April 30, 1958, she served separation papers on her husband, CLAY ORVIS, through her attorney, IRVING ERDHEIM, 342 Madison Avenue, New York City, charging alcoholism and scandalous conduct on the part of Mr. ORVIS. Shortly thereafter, Mrs. ORVIS noticed noises on her telephone line which she believed to be a tap.

On June 26, 1958, Mrs. ORVIS stated she telephoned ROBERTA GAU, an employee of Constance Hope, 200 West 57th Street, New York City, and DOLORES FIGGOTT, an employee of the National Concert Artists Conference, to set up a luncheon date at Mrs. Hinton's Restaurant on West 55th Street off Sixth Avenue, New York City. At the luncheon, she noticed JOHN BROADY, whom she stated she identified from newspaper pictures, at a nearby table and that BROADY seemed to be attempting to listen in on the conversation. Mrs. ORVIS stated that later in the evening of that day she returned to her apartment and could not find her personal telephone book.

Mrs. ORVIS stated that her husband has filed separation papers against her charging adultery and that he has retained JOHN BROADY to conduct an investigation regarding her pre-marital and extra marital affairs.

- 2 -

Interview with CHRISTINE ORVIS File # 139-10on 10/30/58 at 400 East 59th St., NYC Date dictated 11/7/58by Special Agent TERENCE F. MC SHANE:mkg

NY 100-10

Mrs. ORVIS said that she determined that JOHN BROADY contacted the following persons whom she stated would be most happy to furnish him with false information regarding her private life:

Mrs. JANE HEYBURN, 367 Madison Avenue, New York City
Mrs. MARLO WHITE, Instructress at Powers School of Modeling, 247 Park Avenue, New York City

Mrs. ORVIS stated that BROADY also attempted to secure information concerning her from the following, whom she described as being personal friends:

FRANCENE DENS, 342 Fifth Avenue, New York City
SHIRLEY BRYSON, 70 East 56th Street, New York City
Mr. ROSWELL HALL, Jr., Parkside Hotel, New York City
Mrs. ANNA PERIER, 342 East 57th Street
DOLORES PIGGOTT, more-mentioned.

Mrs. ORVIS stated that none of her foregoing friends furnished BROADY with any information.

During September of 1958, Mrs. ORVIS stated she reported her suspicions regarding the BROADY alleged wiretap to the District Attorney's Office of New York County, and that shortly thereafter Detective J. MC NICHOLS of the District Attorney's Office, together with L. HESS of the New York Telephone Company, together with two unidentified telephone employees, checked her telephone line and told her that they could not locate a wiretap.

Mrs. ORVIS stated that she has no concrete knowledge that BROADY placed a wiretap on her telephone line, however, she feels that since he is conducting an investigation regarding her private life, he may have placed a tap on her phone.

FEDERAL BUREAU OF INVESTIGATION
INTERVIEW REPORTDate 11/7/58

CHRISTINE ORVIE advised that the personal telephone book that she discovered missing from her apartment on June 24, 1958, had been found on October 31, 1958, in the apartment of one of her girl friends.

Interview with CHRISTINE ORVIE File # 139-10
on 10/31/58 at 400 East 50th St., NYC Date dictated 11/7/58
by Special Agent TERENCE E. MC SHANE:mvg

FEDERAL BUREAU OF INVESTIGATION
INTERVIEW REPORTDate 11/7/58

LEWIS HESS, Special Agent of the New York Telephone Company, 225 Broadway, New York City, advised that on two occasions at the request of the District Attorney's Office, New York County, he, along with Detective J. MC NICHOLS, and two Telephone Company employees, checked the telephone number Eldorado 5-2539, which is located in the apartment of CHRISTINE ORVIS, 400 East 59th Street, and could not find either a wiretap or a trace of a wiretap.

Mr. HESS stated that he checked all of the telephone lines within the ORVIS apartment and traced the lines from the apartment through the house cables, underground cables and terminal boxes to the Central Telephone Office which handles the ORVIS telephone and which is located at 228 East 56th Street, New York City.

-5-

-P-

Interview with LEWIS HESSFile # 139-10on 10/31/58 at 225 Broadway, New York CityDate dictated 11/7/58by Special Agent TERENCE P. MC SHANE:mag

Office Memorandum • UNITED STATES GOVERNMENT

TO : DIRECTOR, FBI (139-149)

DATE: 11/7/58

FROM : SAC, NEW YORK (139-10)

SUBJECT: JOHN G. BROADY, wa., ET AL
UPUC

Transmitted herewith are two copies of the report of SA TERENCE F. MC SHANE, dated and captioned as above.

REFERENCE

Report of SA TERENCE F. MC SHANE, 7/23/58.

LEADSNEW YORKAt New York, New York

1. Will contact the following in an attempt to ascertain if BROADY talked to them regarding any wiretap he may have had on the ORVIS telephone: Mrs. JANE HEYBURN and Mrs. MARLOW FERRIS.

It is to be noted that the above individuals were not contacted inasmuch as Mrs. ORVIS advised that her separation trial is scheduled for the week of 11/3/58 in NYC, and it was not deemed advisable to contact either of these individuals inasmuch as they may appear as witnesses against Mrs. ORVIS and thereby possibly embarrass the Bureau by any reference to an interview of them in connection with the matter under investigation.

It is the opinion of the NYO that the friends of CHRISTINE ORVIS who are identified in this report should not be contacted until JANE HEYBURN and MARLOW FERRIS are contacted inasmuch as Mrs. ORVIS was of the opinion that she is quite sure none of her friends furnished BROADY with any adverse information concerning her, however, she has no way of knowing what either HEYBURN or FERRIS may have told BROADY.

2. Will report decision on BROADY's appeal when handed down by the Court of Appeals of the State of NY.

(2 - Bureau (139-149) (Encls. 2)

2 - New York (139-10) 11/11/58

TFM:mxg
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ENCLOSURE

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FBI

Date: 11/10/58

Transmit the following in _____
(Type in plain text or code)Via AIRTEL _____
(Priority or Method of Mailing)

TO: DIRECTOR, FBI (139-149)

FROM: SAC, NEW YORK (139-10)

JOHN G. BROADY, wa., ET AL
UPUC

ReBumemo, 11/6/58.

Report of SA TERENCE F. MC SHANE, 11/7/58, at NY,
captioned as above, submitted.

FOSTER

- ③ - Bureau (139-149) (REGULAR MAIL)
1 - New York (139-10)

TFM:imcl (#22) 10
(5)

REC- 27

EX-136

139-149-1112
6 NOV 11 1958

52 NOV 18 1958

Approved: _____
Special Agent in Charge

Sent _____ M

Per _____

F B I

Date: 11/20/58

Transmit the following in _____
(Type in plain text or code)Via AIRTEL _____
(Priority or Method of Mailing)

TO: DIRECTOR, FBI (139-149)

FROM: SAC, NEW YORK (139-10)

JOHN G. BROADY
UPUC

ADA HAROLD BIRNS, NY County, advised that BROADY's appeal was argued on 11/18/58 and that a decision on the appeal was reserved. BIRNS expects that the appeal decision will be handed down in approximately one month at which time the Bureau will be immediately advised.

Liaison is being maintained with BIRNS.

FOSTER

- 3 - Bureau (139-149) (REGULAR MAIL)
1 - New York (139-10)

REC-45

139-149-113

NOV 21 1958

TMS:imcl (#22)

EX-135

53 NOV 25 1958

Approved: _____
Special Agent in Charge

Sent _____ M Per _____

FBI

Date: 11/24/58

Transmit the following in PLAIN TEXT
(Type in plain text or code)Via AIRTEL
(Priority or Method of Mailing)

TO : DIRECTOR, FBI (139-149)

FROM : SAC, NEW YORK (139-10)

SUBJECT: JOHN G. BROADY, wa.
ET AL
UPUC

Rerep of SA TERENCE F. MC SHANE, 11/7/58, NY.

Mrs. C. ORVIS advised that her marriage separation trial is scheduled to start on 11/24/58, and that she will advise if the trial is postponed. Mrs. ORVIS stated that LES PERSKY, a resident of her apartment house, 400 E. 59th St., NYC, allegedly spoke to one of the elevator operators at the foregoing address concerning Mrs. ORVIS and the elevator operator allegedly informed PERSKY "Mrs. ORVIS' telephone is tapped".

Mrs. ORVIS further stated that she has received information that a person identifying himself as STEVE BROADY telephonically contacted the residence of one JOAN WATSON, a friend, telephone number MURryhill 8-3472. Mrs. ORVIS stated this is an unpublished number. It is

3-Bureau (139-149)
1-New York (139-10)

REC-24 139-149-114

TFM:jmk
(5)

7 NOV 25 1958

52 DEC 1 1958

Approved: [Signature]
Special Agent in Charge

Sent _____ M Per _____

F B I

Date:

Transmit the following in _____
(Type in plain text or code)Via _____
(Priority or Method of Mailing)

NY 139-10

Mrs. ORVIS' opinion that the person who identified himself as BROADY could only have obtained the aforementioned unpublished number through either a wire tap or from Detectives FARRELL or MC NICHOLS of the NYCPD. Mrs. ORVIS advised that she gave the unpublished/number to these detectives at the time she was reporting the alleged wire tap on her telephone to the NYCPD and the District Attorneys Office. Mrs. ORVIS also stated that she has filed a complaint with the New York County District Attorneys Office regarding BROADY's investigation of her private life inasmuch as she believed that he was operating illegally inasmuch as he is an unlicensed detective. Mrs. ORVIS stated that after a conversation with Assistant District Attorney HAROLD BIRNS concerning this matter she is of the opinion that no action will be taken, however, she stated she will advise BIRNS of any BROADY activities which come to her attention.

The NYO will await the coverage of leads set out in rerep until after the trial of Mrs. ORVIS has ended.

FOSTER

-2-

Approved: _____ Sent _____ M Per _____
Special Agent in Charge

F B I

Date: 12/22/58

Transmit the following in _____
(Type in plain text or code)Via AIRTEL _____
(Priority or Method of Mailing)

TO: DIRECTOR, FBI (139-149)

FROM: SAC, NEW YORK (139-10)

JOHN G. ⁰BROADY, wa., ET AL
UPUC

Rerep of SA TERENCE F. MC SHANE, 11/7/58, at NY.

Mrs. CHRISTINE ORVIS, 400 E. 59th St., NY, NY, advised that her divorce matter is still pending and she believes a settlement will be reached on approximately 1/5/59. Accordingly, the NYO will not take any action in this matter until it is determined that the ORVIS divorce matter is settled, at which time the Bureau will be promptly advised.

FOSTER

3 - Bureau (139-149) (REGULAR MAIL)
1 - New York (139-10)

EX. - 124

REC-30

139-149-115

11 DEC 23 1958

TFMcS:imcl (#22)
(5)

59 DEC 31 1958

Approved: 746

Special Agent in Charge

Sent _____ M Per _____

F B I

Date: 2/29/59

Transmit the following in _____
(Type in plain text or code)Via AIRTEL _____
(Priority or Method of Mailing)

TO: DIRECTOR, FBI (139-149)

FROM: SAC, NEW YORK (139-10)

SUBJECT: JOHN G. BROADY, aka.
ET AL
UPUC

ReNYairtel, 12/22/58.

On 2/19/59, ^{D.A.} ~~AUSA~~ HAROLD BIRNS, NY County, advised that the NY State Court of Appeals is currently in recess. BIRNS stated recess will end this week and therefore, he expects a decision on BROADY's appeal to be handed down by the Court sometime during the week of February 22, 1959.

Liaison is being maintained with BIRNS so that the Bureau will be properly advised in this matter.

EX 105

REC-8

139-149-116

⑧ - Bureau (139-149)
1 - New York (139-10)

20 FEB 20 1959

TFM:gak
(5)

68 FEB 26 1959

Approved: _____
Special Agent in Charge

Sent: _____ M Per: _____

F B I

Date: 4/10/59

Mr. Tolson	_____
Mr. Belmont	_____
Mr. DeLoach	_____
Mr. McGuire	_____
Mr. Mohr	_____
Mr. Parsons	_____
Mr. Rosen	_____
Mr. Tamm	_____
Mr. Trotter	_____
Mr. W.C. Sullivan	_____
Tele. Room	_____
Mr. Holloman	_____
Miss Gandy	_____

Transmit the following in PLAIN TEXT
(Type in plain text or code)Via AIRTEL
(Priority or Method of Mailing)

TO: DIRECTOR, FBI (139-149)
 FROM: SAC, NEW YORK (139-13)
 SUBJECT: JOHN G. BRODY, aka.,
 ET AL
 UPUC

Assistant District Attorney HAROLD BIRNS, NY County, advised on 4/10/59, that BRODY'S conviction was upheld in decision rendered by New York State Court of Appeals on 4/9/59. BIRNS stated Appeals Court voted five to two in denying BRODY'S appeal.

BIRNS advised that BRODY may appeal this decision to the US Supreme Court, but had no information indicating BRODY would do so.

C C - Wick

REC-29

3 - Bureau (139-149)
 1 - New York (139-13)

TFM:sau(#22)
 (5)

0-1 n. y.

Rep. will be
 submitted 4/29/59.

5/4
 two

EX-133

139-149-117
APR 15 1959Approved: [Signature]
Special Agent in Charge

Sent _____ M Per _____

62 APR 17 1959

Office Memorandum • UNITED STATES GOVERNMENT

TO : SAC, *New York*(Your file *139-10*)DATE: *4/6/59*

FROM : Director, FBI

(Bufile and serial *139-149*)*John G. Brady*SUBJECT: *UPUC*Office of Origin: *New York*

1. () The deadline in this case has passed and the Bureau has not received a report. You are instructed to submit a report immediately. In the event a report has been submitted, you should make a notation of the date on which it was submitted on this letter and return it to the Bureau, Room No. *5715*

Report submitted

Report will be submitted

Reason for delay

Asst. DA H. Birens, my County 9-10

ADVISED

Decision on

Brady's

Appeal

*IS EXPECTED TO BE HANDLED DOWN WITHIN**1959**TWO**WEEKS.**He will be**ADVISED.*

2. () Advise Bureau re status of this case.
3. () Advise Bureau when report may be expected.
4. () Surep immediately.

(Place your reply on this form and return to the Bureau. Note on the top serial in the case file the receipt and acknowledgment of this communication.)

db

FEDERAL BUREAU OF INVESTIGATION

Reporting Office NEW YORK	Office of Origin NEW YORK	Date 4/29/59	Investigative Period 11/15/58 - 4/28/59
TITLE OF CASE JOHN G. BROADY, aka., et al		Report made by TERENCE F. MC SHANE	Typed By: mm
		CHARACTER OF CASE UNAUTHORIZED PUBLICATION OR USE OF COMMUNICATIONS	

I
~~XXXXXX~~

REFERENCE

Report of SA TERENCE F. MC SHANE, 11/7/58,
at NY.

- P -

ADMINISTRATIVE

The lengthy investigative period for this report is due to the fact that the NYO has been awaiting the decision of the NY State Court of Appeals with respect to BROADY's conviction.

LEADS

NEW YORK

At New York, New York

1. Will conduct investigation with respect

Approved <i>[Signature]</i>	Special Agent in Charge	Do not write in spaces below	
Copies made: 2 - Bureau (139-149) 2 - New York (139-10)		139-149-118	REC-91
		EX-136	

4/29/59 2 30 PM
ADIA
300-300-946(F)
300-300-946(F)
300-300-946(F)

[Signature]
SECT.

NY 139-10

LEADS (CONT'D)

At New York, New York (Cont'd)

to alleged wiretap on Mrs. CHRISTINE ORVIS as soon as it has been established her marriage separation matter has been finalized.

It is noted that contact with Mrs. ORVIS on 4/23/59, determined that her separation is still in a pending status.

2. Will remain in contact with ADA RICHARD G. DENZER in order that the Bureau will be advised of any appeal to the US Supreme Court by BROADY.

COVER PAGE

- A -

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to:

Report of: SA TERENCE F. MC SHANE
Date: 4/29/59

Office: NEW YORK

File Number: NY 139-10

Bureau 139-149

Title: JOHN G. BROADY

Character: UNAUTHORIZED PUBLICATION OR
USE OF COMMUNICATIONS

Synopsis: New York State Court of Appeals affirmed BROADY's conviction on 4/9/59. Assistant District Attorney RICHARD DENZER advised BROADY has indicated he will appeal to the US Supreme Court.

- P -

NY 139-10

DETAILS:

On April 10, 1959, Assistant District Attorney HAROLD BIRNS, New York County, advised that by a vote of five to two the New York State Court of Appeals, on April 9, 1959, affirmed the conviction of JOHN G. BROADY.

On April 27, 1959, Assistant District Attorney RICHARD G. DENZER, New York County, advised that BROADY has indicated he will appeal the affirmation of his conviction by the New York State Court of Appeals to the United States Supreme Court. Mr. DENZER stated he will advise the New York Office when BROADY takes any action with respect to his appeal to the Supreme Court.

Office Memorandum • UNITED STATES GOVERNMENT

TO : SAC, *New York* (Your file *139-10*) DATE: *March 6, 1959*FROM : Director, FBI (Bufile and serial *139-149*)SUBJECT: *John S. Broady, aka, et al.*
Unauthorized Publication or Use of Office of Origin: New York Communications

1. () The deadline in this case has passed and the Bureau has not received a report. You are instructed to submit a report immediately. In the event a report has been submitted, you should make a notation of the date on which it was submitted on this letter and return it to the Bureau, Room No. Room 5722

Report submitted

Report will be submitted

Reason for delay

*Appeals Clerk, NY State Court**ADVISED DECISION HAS NOT BEEN HANDLED DOWN AS YET. 139-10*
Will advise when decision is reached by Court

2. (✓) Advise Bureau re status of this case.
3. () Advise Bureau when report may be expected.
4. () Surep immediately.

(Place your reply on this form and return to the Bureau. Note on the top serial in the case file the receipt and acknowledgment of this communication.)

SEARCHED	INDEXED
SERIALIZED	FILED
77 MAR 8 1959	
FBI-NEW YORK	

b6
b7C

F B I

Date: 10/16/59

Transmit the following in PLAIN TEXT
(Type in plain text or code)Via AIRTEL REGISTERED MAIL
(Priority or Method of Mailing)

TO: DIRECTOR, FBI (139-149)
FROM: SAC, NEW YORK (139-10)
SUBJECT: JOHN G. BROADY, aka., ET AL.
UPUC

"The New York Times" issue of 10/13/59, reflects an article that the United States Supreme Court denied a review of BROADY's conviction on wire tap charges in New York State Court. Article reflects the denial of review by the Supreme Court leave standing the upholding of BROADY's conviction by the New York State Court of Appeals.

3- Bureau (139-149)
1- New York (139-10)

TFM:hfr
(5)

REC-19

139-149-119

20 OCT 17 1959

EX-133

Approved: [Signature] Sent M Per
Special Agent in Charge

FEDERAL BUREAU OF INVESTIGATION

Reporting Office NEW YORK	Office of Origin NEW YORK	Date 10/21/59	Investigative Period 10/7-20/59
TITLE OF CASE JOHN G. BROADY, aka, ET AL		Report made by <div style="border: 1px solid black; width: 150px; height: 1.2em;"></div>	Typed By: rkh
		CHARACTER OF CASE UNAUTHORIZED PUBLICATION OR USE OF COMMUNICATIONS	

b6
b7C

XXXXXX

REFERENCE

Report of SA dated
4/29/59 at NY.

b6
b7C

- P* -

ADMINISTRATIVE

By teletype dated 10/7/59, the Phoenix Division advised that WILLIAM DOWNING, Chief of Police, Scottsdale, Arizona, advised that ROBERT M. MAYTAG, MAYTAG WASHING MACHINE COMPANY, reported that BROADY unsuccessfully attempted to break into MAYTAG's apartment. DOWNING stated that BROADY was a disbarred NY attorney reportedly out on bail pending final appeal of federal felony conviction for blackmail. The Phoenix Division requested the NYO to sutel background information and photograph of BROADY.

Approved: *[Signature]* Special Agent In Charge Do not write in spaces below

Copies made:

- 2 - Bureau (139-149)
- 2 - Washington Field
- 2 - New York (139-10)

139 - 17 - 120		
<div style="border: 1px solid black; width: 100px; height: 1.2em;"></div>		REC-77
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<div style="border: 1px solid black; width: 100px; height: 1.2em;"></div>		

25 OCT 26 1959

STAT. SECT.

NY 139-10

By return teletype, the NYO furnished the details of BROADY's private detective activities including information concerning his background in wire tapping. A photograph of BROADY was also forwarded to Phoenix.

This report is being carried in a pending inactive status inasmuch as the only active investigation, other than the reporting by WFO of the subject's appeal to the US Supreme Court, is the investigation of the alleged wire tap BROADY installed on the telephone used by [redacted]. As is set out in this report, the records of the NY State Supreme Court indicate the marital litigation involving [redacted] and her husband, [redacted] is still in a pending status and there is no indication when the litigation will be resolved.

b6
b7C

In view of possible embarrassment to the Bureau, as was pointed out in NY cover letter to the Bureau dated 11/7/58, the NYO will not conduct any further investigation involving the alleged [redacted] wire tap until the marital litigation involving Mr. and Mrs. [redacted] has been concluded.

b6
b7C

LEADS

WASHINGTON FIELD

At Washington, D.C.

Will verify and report the denial of a review by the US Supreme Court of BROADY's conviction on NY State wire tapping charges.

NEW YORK

At New York, New York

*Will conduct investigation regarding alleged wire tap on telephone used by Mrs. [redacted] as soon as it has been established that her marital litigation has been finalized.

b6
b7C

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to:

Report of:

SA [REDACTED]

Office:

New York, New York

b6

b7C

Date:

10/21/59

File Number:

NEW YORK (139-10)

BUFILE (139-149)

Title:

JOHN G. BROADY

Character:

UNAUTHORIZED PUBLICATION OR
USE OF COMMUNICATIONS

Synopsis:

BROADY denied a review of his conviction on wire tapping charges by US Supreme Court. Litigation involving [REDACTED] and her husband, [REDACTED] pending in NY State Supreme Court.

b6

b7C

- P* -

NY 139-10

DETAILS:

The "New York Times" issue of October 13, 1959, reflects an article that JOHN G. BROADY, a lawyer and private detective in New York City, was denied a review of his conviction on wire tap charges in New York State Court by the United States Supreme Court.

The article pointed out BROADY had been accused of having operated wire tapping plants in apartments in midtown Manhattan equipped for listening in and recording conversations on business and home telephones.

The article pointed out that the denial of the review by the Supreme Court leaves standing BROADY's conviction by State Court and the affirmation of his conviction by the New York State Court of Appeals.

SAC, NEW YORK (139-10)

10/20/59
Date Dictated: 10/19/59

SA [REDACTED]

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b7C

JOHN G. BROADY aka ET AL
UPUC

On October 19, 1959, the records of the Clerk of the New York State Supreme Court, Foley Square, New York, New York, were made available by [REDACTED] Clerk, Supreme Court. These records reflect that the separation matter involving [REDACTED] plaintiff, and [REDACTED] defendant, is pending in New York State Supreme Court. The records indicate the law firm of Erdheim and Armstrong, 342 Madison Avenue, New York, New York, is being substituted as counsel for the plaintiff and that [REDACTED] 635 Madison Avenue, New York, New York, has been designated as substitute counsel for the plaintiff. Mr. [REDACTED] stated the matter of counsel fee claimed by the firm of Erdheim and Armstrong has not been settled as yet.

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b7C

Mr. [REDACTED] advised there is no indication from the records of the Supreme Court when the litigation involving [REDACTED] and [REDACTED] will be brought to a conclusion.

b6
b7C

TFM:lac

Office Memorandum • UNITED STATES GOVERNMENT

TO : DIRECTOR, FBI (139-149)

DATE: 11/3/59

FROM : SAC, NEW YORK (139-10)

SUBJECT: JOHN G. BROADY, aka, ETAL
UPUCRe report of SA [redacted] dated 10/21/59, at
NY.b6
b7C

On 10/27/59, Mrs. [redacted] information concerning whom is set out in referenced report, telephonically contacted the NYO and requested that she be advised of the status of the investigation being conducted by the Bureau with respect to the alleged wiretap that BROADY placed on her telephone.

b6
b7C

Mrs. [redacted] was advised of the confidential nature of the Bureau files and investigations, and therefore no information could be made available to her.

b6
b7C

- 2 - Bureau (139-149)
- 1 - New York (139-10)

TFM:RM
(3)139-149-121
25 NOV 5 1959

REC-67

304
22 NOV 10 1959

Office Memorandum • UNITED STATES GOVERNMENT

TO : DIRECTOR, FBI (139-149)

DATE: 11/6/59

FROM : SAC, WFO (139-54)

SUBJECT: JOHN G. BROADY, aka et al
UNAUTHORIZED PUBLICATION OR
USE OF COMMUNICATIONS
(OO:NY)

Reference is made to the report of SA [redacted] dated 10/21/59, at New York.

b6
b7C

On 11/2/59, [redacted] Clerks Office, U.S. Supreme Court, advised SA JAMES J. RYAN that the case of JOHN G. BROADY vs. the people of the State of New York was received in the U.S. Supreme Court on 6/9/59. [redacted] advised that this matter was originally filed as number 988 of the October Term, 1958, of the U.S. Supreme Court but as this case was not decided before 7/1/59, it was carried over until the October, 1959, Term of the U.S. Supreme Court and entered as number 104.

b6
b7C

[redacted] stated that on 6/9/59, BROADY filed a jurisdictional statement with the U.S. Supreme Court. [redacted] reviewed the U.S. Supreme Court Docket Number 104 which reflected that on 10/12/59, the U.S. Supreme Court dismissed the appeal by BROADY. [redacted] informed that no written opinion was given in this matter but just an order by the U.S. Supreme Court dismissing the appeal.

b6
b7C

[redacted] made available one copy of the jurisdictional statement filed by BROADY which is being enclosed for the information of the Bureau. RUC.

b6
b7C

2-Bureau (Encl.1)
2-New York (139-10)
1-WFO

JJR:bsb
(5)

REC- 50

25 NOV 6 1959

ENCLOSURE

30 NOV 16 1959

ENCLOSURE: TO BUREAU (1)

Bureau file (139-149)
WFO file (139-54)

Sent by memo dated 11/6/59

ENCLOSURE

139-149-127

Office-Supreme Court, U.S.

FILED

JUN 9 1959

WALTER S. DOWNING, Clerk.

IN THE
Supreme Court of the United States

October Term, 1958

No. ~~188~~ 104

JOHN G. BROADY,

Appellant,

—against—

THE PEOPLE OF THE STATE OF NEW YORK,

Appellee.

JURISDICTIONAL STATEMENT

SOL GELB,
HARRIS B. STEINBERG,
Attorneys for Appellant,
25 Broad Street,
New York 4, New York.

HARRIS B. STEINBERG,
LEO H. HIRSCH, JR.,
of Counsel.

June, 1959.

FEDERAL BUREAU OF INVESTIGATION

Reporting Office NEW YORK	Office of Origin NEW YORK	Date 1/4/60	Investigative Period 10/27 - 12/21/59
TITLE OF CASE JOHN G. BROADY, aka, ET AL		Report made by JOHN HENRY DOYLE	Typed By: ejr
		CHARACTER OF CASE UNAUTHORIZED PUBLICATION OR USE OF COMMUNICATIONS	

Source:

REFERENCES:

Report of SA [redacted] at NY, 10/21/59.
NY airtel to Bureau, 11/3 and WFO airtel to NY,
dated 11/6/59.

b6
b7C

- p* -

LEADS:

NEW YORK

At New York, New York

Will follow court action on BROADY.

Approved <i>[Signature]</i>	Special Agent In Charge	Do not write in spaces below	
Copies made: 2 - Bureau (139-149) 2 - New York (139-10)		139-149-123	REC- 19 EX-109
		4 JAN 5 1960	

1cc: AAG Civil Rights Division
Form 6-94 *1-13-60*

FBI - This report is loaned to you by the FBI, and neither it nor its contents are to be distributed outside the agency to which

2 JAN 15 1960

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to:

Report of:

SA JOHN HENRY DOYLE
1/4/60

Office: New York, New York

Date:

File Number:

New York 139-10

Bureau file 139-149

Title:

JOHN G. BROADY, aka
ET AL

Character:

UNAUTHORIZED PUBLICATION OR
USE OF COMMUNICATIONS

Synopsis:

On 10/12/59, US Supreme Court dismissed the appeal by BROADY although no written opinion was given. BROADY is due to surrender to State Authorities on 1/4/60.

- P -

NY 139-10

DETAILS:

On November 2, 1959, [redacted] Clerks Office, United States Supreme Court, advised SA JAMES J. RYAN that the case of JOHN G. BROADY versus the people of the State of New York was received in the United States Supreme Court on June 9, 1959. [redacted] advised that this matter was originally filed as number 988 of the October Term, 1958, of the United States Supreme Court but as this case was not decided before July 1, 1959, it was carried over until the October, 1959, Term of the United States Supreme Court and entered as number 104.

b6
b7C

[redacted] stated that on June 9, 1959, BROADY filed a jurisdictional statement with the United States Supreme Court. [redacted] reviewed the United States Supreme Court Docket Number 104 which reflected that on October 12, 1959, the United States Supreme Court dismissed the appeal by BROADY. [redacted] informed that no written opinion was given in this matter but just an order by the United States Supreme Court dismissing the appeal.

b6
b7C

Assistant District Attorney [redacted] advised SA JOHN HENRY DOYLE on December 21, 1959, that his records reflect that JOHN G. BROADY was due to surrender to State Authorities to serve the remainder of his present sentence on January 4, 1960.

b6
b7C

FEDERAL BUREAU OF INVESTIGATION

Reporting Office NEW YORK	Office of Origin NEW YORK	Date 1/27/60	Investigative Period 1/11 - 1/25/60
TITLE OF CASE JOHN G. BROADY, aka. ET AL		Report made by <div style="border: 1px solid black; height: 1.2em; width: 100%;"></div>	Typed By: cam
		CHARACTER OF CASE UNAUTHORIZED PUBLICATION OR USE OF COMMUNICATIONS	

b6
b7C

XXXXXX

REFERENCE

Report of SA JOHN HENRY DOYLE, dated 1/4/60, at NY.

- P* -

LEADS

NEW YORK

At New York, New York

*Will conduct investigation regarding alleged wire tap on telephone used by Mrs. as soon as it has been established that her marital litigation has been finalized.

b6
b7C

Approved <div style="font-size: 2em; font-family: cursive;">JH</div>	Special Agent In Charge	Do not write in spaces below	
Copies made: 2 - Bureau (139-149) 2 - New York (139-10)		<div style="font-size: 1.5em; font-family: cursive;">139-149-124</div>	<div style="border: 1px solid black; padding: 2px;">REC-92</div>
		<div style="font-size: 1.2em;">7 JAN 28 1960</div>	

1cc: AAG ~~Civil Rights~~ **CRIMINAL** Division
Form 6-91 *2-9-69 WLM/bs*

- A* -
COVER PAGE

58 FEB 11 1960

Property of FBI - This report is loaned to you by the FBI, and neither it nor its contents are to be distributed outside the agency to which loaned.

25-58)

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to:

Report of:

SA [REDACTED]

Office: New York, New York

Date:

1/27/60

b6
b7C

File Number:

NY 139-10

Bufile 139-149

Title:

JOHN G. BROADY

Character:

UNAUTHORIZED PUBLICATION OR
USE OF COMMUNICATIONS

Synopsis:

On 1/21/60, Assistant District Attorney [REDACTED]
[REDACTED] New York County, advised BROADY
surrendered and is currently serving sentence
for conviction on wire tapping charges in New
York State Court.

b6
b7C

- P* -

NY 139-10

DETAILS

On January 21, 1960, Assistant District Attorney [redacted] New York County, advised that on January 4, 1960, JOHN G. BROADY surrendered and is presently serving a two to four year sentence as a result of his conviction in New York State County on wire tapping charges. Mr. [redacted] stated that BROADY is serving his sentence at Sing Sing Prison, Ossining, New York.

b6
b7c

SAC, New York (139-10)

2/17/60

Director, FBI (139-149)

JOHN G. BROADY, aka., et al.
UPUC

Rerep of SA [REDACTED] 1/27/60.

b6
b7C

In view of the fact that Broady is now serving a state sentence, this case should be immediately discussed in detail with the USA for the purpose of determining his intentions regarding this matter. If prosecutive action is still under consideration by the USA, you should determine the status of the divorce action involving [REDACTED] and if this action has been completed, the remaining investigation should be promptly concluded.

b6
b7C

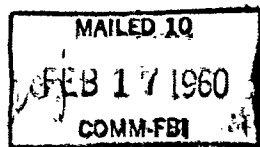
This case should receive preferred attention in order that it may be brought to a logical conclusion as quickly as possible.

REC-15

139-149-125

EX-130

18 FEB 18 1960



WLM:dsj
(4)

Tolson _____
Mohr _____
Parsons _____
Belmont _____
Callahan _____
DeLoach _____
Malone _____
McGuire _____
Rosen _____
Tamm _____
Trotter _____
W.C. Sullivan _____
Tele. Room _____
Ingram _____
Gandy _____

53 FEB 22 1960

MAIL ROOM

TELETYPE UNIT

SAC, New York (139-10)

3/10/60

REC-66
Director, FBI (139-149)-126

JOHN G. BROADY, aka., et al.
UPUC

Reurnemo 3/3/60.

Follow closely with USA until brought to a
logical conclusion.

Tolson _____
Mohr _____
Parsons _____
Belmont _____
Callahan _____
DeLoach _____
Malone _____
McGuire _____
Rosen _____
Tamm _____
Trotter _____
W.C. Sullivan _____
Tele. Room _____
Ingram _____
Gandy _____

WIM:dsj
(4)

62 MAR 11 1960

MAIL ROOM ☒

TELETYPE UNIT ☐

APR 1 1960

Office Memorandum • UNITED STATES GOVERNMENT

TO : DIRECTOR, FBI (139-149)

FROM : SAC, NEW YORK (139-10)

SUBJECT: JOHN G. BROADY, aka, ET AL
UPUC

DATE: 3/3/60

ReBulet 2/17/60.

On 2/25/60, AUSA [redacted] of the Criminal Division, SDNY, advised that the files of the USA on the BROADY case are being reviewed to determine if any action is to be undertaken. Mr. [redacted] said the NYO will be immediately advised when a decision is arrived at.

b6
b7C

On 2/26/60, [redacted] Clerk, Supreme Court, NY. NY. advised the separation matter involving [redacted] plaintiff, and [redacted] defendant, is still pending in Supreme Court. Mr. [redacted] stated there is no indication when the [redacted] litigation will be resolved.

b6
b7C

② - Bureau (139-149)
1 - NY (139-10)

TFM:mm
(3)

REC-1

EX-140

13 MAR 4 1960

cc T
Let to NY
3-10-60
W. M. H.

139-149-126

FEDERAL BUREAU OF INVESTIGATION

Reporting Office NEW YORK	Office of Origin NEW YORK	Date 4/11/60	Investigative Period 2/18 - 4/8/60
TITLE OF CASE JOHN G. BROADY, aka ET AL		Report made by JOHN HENRY DOYLE	Typed By ds
		CHARACTER OF CASE UNAUTHORIZED PUBLICATION OR USE OF COMMUNICATIONS	

REFERENCE:

Report of SA [redacted] at NY, 1/27/60.
Bullets to NY, 2/17/60, 3/10/60, 4/5/60, and NY
airtel to Bureau, 3/3/60.

b6
b7C

- P -

LEAD:

NEW YORK

At New York, New York

Will ascertain status of marital litigation of
[redacted]

b6
b7C

Approved <i>HGF</i> <i>RFW</i>	Special Agent In Charge	Do not write in spaces below	
Copies made: (2) - Bureau (139-149) 2- New York (139-10) <i>468 14 15 12 6W 20</i>		139-149-127	REC-48
		14 APR 18 1960	EX-113

1cc: AAG Criminal Division
Form 6-94 *E 4-20-60*

- A* -

SEX
STAT. SECT.

62 APR 20 1960

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to:

Report of: JOHN HENRY DOYLE
Date: 4/11/60

Office: New York, New York

File Number: New York 139-10

Bureau 139-149

Title: JOHN G. BROADY

Character: UNAUTHORIZED PUBLICATION OR
USE OF COMMUNICATIONSSynopsis: No action taken on BROADY case in SDNY. [redacted]
case still pending in Supreme Court.b6
b7C

- P -

DETAILS:

Assistant United States Attorney [redacted] was contacted on February 25, 1960, by SA [redacted] at which time he advised that the files of the United States Attorney in the BROADY case were being reviewed to determine if any action is to be undertaken. Mr. [redacted] said that the office would be advised when a decision was reached in this matter. He was recontacted on April 8, 1960, at which time he said consideration was still being given to the matter.

b6
b7C

On February 26, 1960, [redacted] Clerk, Supreme Court, New York, New York, advised the separation matter of the [redacted] case was still pending in Supreme Court. There was no indication when it would be resolved.

b6
b7C

- 1* -

SAC, New York (139-10)

4/5/60

Director, FBI (139-149)

JOHN G. BROADY, aka., et al.
UPUC

ReBumemo 3/10/60.

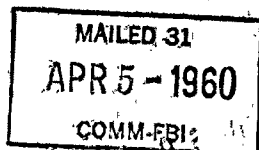
Surep by 4/12/60 bringing case up to
date since submission of last report.

WLM:aeo *aed*
(4)

REC- 53

C2
139-149-128

12 APR 13 1960



13

Tolson _____
Mohr _____
Parsons _____
Belmont _____
Callahan _____
DeLoach _____
Malone _____
McGuire _____
Rosen _____
Tamm _____
Trotter _____
W.C. Sullivan _____
Tele. Room _____
Ingram _____
Gandy _____

51 APR 15 1960

MAIL ROOM ☒ TELETYPE UNIT ☐

FBI

Date:

5/2

PLAIN TEXT

Transmit the following in _____
(Type in plain text or code)

AIRTEL

Via _____
(Priority or Method of Mailing)

TO : DIRECTOR, FBI (139-149)
FROM : SAC, NEW YORK (139-10)
SUBJECT: JOHN G. BROADY aka
ET AL
UPUC

mc
[redacted] Clerk of Court, NY Supreme
Court, advised this date, that [redacted] suit set for trial,
6/6/60. Bureau will be kept advised of developments.

b6
b7c

3 - Bureau (139-149)
1 - New York (139-10)

JHD:epo
(5)

EX-102

REC-59

139-149-129

JUN 59

JUN 23 1960

FEDERAL BUREAU OF INVESTIGATION

COMMUNICATIONS SECTION

RECEIVED

Approved: *HBF*

Special Agent in Charge

Sent _____ M Per _____

50 JUN 6 1960

Office Memorandum • UNITED STATES GOVERNMENT

TO : SAC, New York (Your file 139-10) DATE: 5/20/60

FROM : Director, FBI (Bufile and serial 139-149)

SUBJECT: JOHN G Broocky et al Office of Origin: NY

1. () The deadline in this case has passed and the Bureau has not received a report. You are instructed to submit a report immediately. In the event a report has been submitted, you should make a notation of the date on which it was submitted on this letter and return it to the Bureau, Room No. 5724

Report submitted

Report will be submitted

Reason for delay

Re NY Rep 4/11/60
 AUSA [redacted] still considering whether
 Any action will be taken 139-10 this matter

2. () Advise Bureau re status of this case.
 3. () Advise Bureau when report may be expected
 4. () Surep immediately.

(Place your reply on this form and return to the Bureau. Note on the top serial in the case file the receipt and acknowledgment of this communication.)

SAC, New York (139-10)

6/16/60

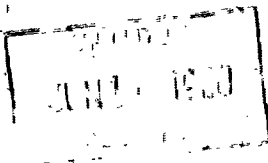
Director, FBI (139-149)

JOHN G. BROADY, et al.
UPUC

7H
Surep by 6/23/60 showing discussions with USA as to whether prosecution will be undertaken. If USA has not yet reached a decision, he should be followed on a weekly basis until a firm opinion is rendered.

Also advise status of [redacted] suit and unless USA declines prosecution, investigation of the alleged wire tap on the telephone of Mrs. [redacted] is to be instituted immediately upon completion of the divorce action.

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b7C



EX-112

WLM:dsj
(4)

REC-21

139-149-130

JUN 16 1960

Tolson _____
Mohr _____
Parsons _____
Belmont _____
Callahan _____
DeLoach _____
Malone _____
McGuire _____
Rosen _____
Tamm _____
Trotter _____
W.C. Sullivan _____
Tele. Room _____
Ingram _____
Gandy _____

FBI
JUN 20 1960

MAIL ROOM ☒

TELETYPE UNIT ☐

7/5/60

AIRTEL

To: SAC, New York (139-10)

From: Director, FBI (139-149) - 131

JOHN G. BROADY, ET AL. REC-34 EX-133
UPUC

Rerep SA John Henry Doyle dated 6/23/60, at New York.

In view of the length of time that this matter has been pending it should receive preferred attention in order that it may be brought to a logical conclusion as quickly as possible. Complete and surep no later than 7/20/60, and upon completion of investigation United States Attorney should be closely followed until he renders a firm opinion.

WLM:ble
(4) *all*



alm

Tolson _____
Mohr _____
Parsons _____
Belmont _____
Callahan _____
DeLoach _____
Malone _____
McGuire _____
Rosen _____
Tamm _____
Trotter _____
W.C. Sullivan _____
Tele. Room _____
Ingram _____
Gandy _____

62 JUL 8 1960 MAIL ROOM ☐ TELETYPE UNIT ☐

FEDERAL BUREAU OF INVESTIGATION

Reporting Office NEW YORK	Office of Origin NEW YORK	Date 6/23/60	Investigative Period 4/22 - 6/22/60
TITLE OF CASE JOHN G. BROADY aka; ET AL		Report made by JOHN HENRY DOYLE	Typed By: atc
		CHARACTER OF CASE UPUC	

XXXXXX

REFERENCES: Report of SA JOHN HENRY DOYLE, dated 4/11/60,
at New York
New York airtel to Bureau, dated 5/27/60
Bureau letter to New York, dated 6/16/60

- P -

ADMINISTRATIVE:

This period is lengthy since investigation conducted
was to check on [redacted] separation.

AUSA [redacted] was contacted on 2/25, 4/8/60.

b6
b7C

LEAD:

NEW YORK

At New York, New York

Will conduct investigation concerning alleged
wiretap of [redacted]

b6
b7C

Approved <i>[Signature]</i>	Special Agent In Charge	Do not write in spaces below	
Copies made: 2-Bureau (139-149) 1-USA, SDNY (ATT: AUSA [redacted]) 2-New York (139-10)		139-149-131	REC- 68
		2 JUN 27 1960	b6 b7C
1cc: AAG Criminal Division Form 6-94 <i>[Signature]</i>			

- A* -

STAR SECT

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to: 1-USA, SDNY (Attention: AUSA [redacted]) b6
b7C

Report of: JOHN HENRY DOYLE Office: New York, New York
Date: 6/23/60

File Number: New York 139-10 Bureau 139-149

Title: JOHN G. BROADY

Character: UNAUTHORIZED PUBLICATION OR USE OF COMMUNICATIONS

Synopsis: [redacted] separation agreement settled. AUSA, SDNY
advised he wanted all information on [redacted] matter,
developed concerning alleged wiretap. b6
b7C

- P -

DETAILS:

[redacted] Attorney, 635 Madison Avenue,
New York City, advised on June 22, 1960, that the [redacted]
separation agreement was settled and [redacted]
will go to Mexico to secure a divorce. b6
b7C

Assistant United States Attorney [redacted] Southern
District of New York, requested on June 22, 1960, that
the alleged wiretap on [redacted] be developed
before he rendered an opinion in instant matter. b6
b7C

- 1* -

FEDERAL BUREAU OF INVESTIGATION

Reporting Office NEW YORK	Office of Origin NEW YORK	Date JUL 20 1960	Investigative Period 6/30-7/19/60
TITLE OF CASE JOHN G. BROADY aka; ET AL		Report made by JOHN HENRY DOYLE	Typed By: KIH
		CHARACTER OF CASE UNAUTHORIZED PUBLICATION OR USE OF COMMUNICATIONS	

~~SECRET~~
REFERENCES: Report of SA JOHN HENRY DOYLE, dated 6/23/60, at New York.
Bureau Airtel to New York, dated 7/5/60.

- P -

LEAD:

NEW YORK

At New York, New York

Will recontact AUSA [] for opinion as to

b6
b7C

prosecution.

REC'D - CIV RIGHTS
FBI

JUL 22 5 58 PM '60

Approved <i>[Signature]</i>	Special Agent In Charge	Do not write in spaces below	
Copies made: (2-Bureau (139-149) 1-USA, SDNY (ATT: AUSA []) 2-New York (139-10)		139-149-132	REC-78
		8 JUL 21 1960	b6 b7C

-A*-
COVER PAGE

1cc: AAG Criminal Division
Form 6-94 7/25/60

STAT. SECT.

64 JUL 27 1960

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATIONCopy to: 1-USA, SDNY (Attention: AUSA)b6
b7CReport of: JOHN HENRY DOYLE
Date: JUL 20 1961

Office: New York, New York

File Number: New York 139-10

Bureau 139-149

Title: JOHN G. BROADY

Character: UNAUTHORIZED PUBLICATION OR USE OF COMMUNICATIONS

Synopsis: Interview of friends, associates, and other individuals mentioned by as possibly having knowledge of wire taps, contacted without any information being furnished as to the extent of such wire taps.b6
b7C

- P -

DETAILS:

FEDERAL BUREAU OF INVESTIGATION
INTERVIEW REPORTDate July 19, 1960

[redacted] neo [redacted], N.Y.C.
was interviewed while on vacation.

She advised that in the spring of 1958 she signed a deposition at the request of JOHN G. BROADY and attorney (FNU)

[redacted] at New York City relating to an affair [redacted]
[redacted] had with a man a SIASCONSET, MASS. while married
to [redacted]. BROADY never referred to wire-tapping or
the telephone of [redacted]

She had no further information to give.

b6
b7C

- 2 -

Interview with [redacted] File # 139-10

on 7/18/60 at SIASCONSET, MASS Date dictated 7/19/60

b6
b7C

by Special Agent [redacted]

FEDERAL BUREAU OF INVESTIGATION
INTERVIEW REPORTDate July 19, 1960

[redacted] Special Agent, N.Y. Telephone Company 140 West St., N.Y.C. advised that during 1958 he checked the apartment of [redacted] on 59th Street on three occasions without finding any indication that a wiretap had been placed on her phone or that any attempt had been made to place a wiretap on that phone.

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Mr. [redacted] pointed out that MRS [redacted] told him that she was being followed by BROADY but she could not give him any information that would indicate that a wiretap had been placed on her phone.

- 3 -

Interview with [redacted] File # 139-10
on 7/19/60 at 140 West St., N.Y.C. Date dictated 7/19/60
by Special Agent JOHN HENRY DOYLE

b6
b7C

FEDERAL BUREAU OF INVESTIGATION
INTERVIEW REPORTDate 7/14/60

[redacted] New York City, advised that he had no knowledge of a wire tap ever having been placed on the telephone of [redacted]. [redacted] He pointed out that he had heard rumors about wire tapping around the apartment house, but believed that the rumors came from Mrs. [redacted]. He had no other information to give concerning instant matter.

b6
b7c

- 4 -

Interview with [redacted] File # NY 139-10
on 7/12-7/13/60 at New York City Date dictated 7/13/60
by Special Agent JOHN HENRY DOYLE:vmc

b6
b7c

FEDERAL BUREAU OF INVESTIGATION
INTERVIEW REPORTDate 7/14/60

[redacted] retired detective now working for the Securities and Exchange Commission, 225 Broadway, New York City, advised that he formerly worked on the STEVE BROADY investigation in the New York County District Attorney's Office. During that investigation he received information from Mrs. [redacted] to the effect that her telephone was tapped and he and several men from the New York Telephone Company, including [redacted] checked out her telephone, the terminal box in the building, and her individual apartment without finding any evidence that the telephone had been tapped. [redacted] pointed out that he was very interested in catching him for wire tapping at that time, and if he had found any such evidence he would have arrested him.

b6
b7C

- 5 -

Interview with [redacted] File # NY 139-10
on 7/13/60 at New York, New York Date dictated 7/13/60
by Special Agent JOHN HENRY DOYLE:VHC

b6
b7C

FEDERAL BUREAU OF INVESTIGATION
INTERVIEW REPORTDate 7/14/60

[redacted] wife of [redacted]
[redacted] advised that she was formerly
friendly with Mrs. [redacted] but that she is not friendly with her
now. She admitted that Mrs. [redacted] had mentioned she was
being investigated by Detective BROADY, but she denied
she ever heard any mention of wire tapping at anytime.

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b7C

- 6 -

Interview with [redacted] File # NY 139-10
on 7/12/60 at New York, New York Date dictated 7/13/60
by Special Agent JOHN HENRY DOYLE:vmc

b6
b7C

FEDERAL BUREAU OF INVESTIGATION
INTERVIEW REPORTDate 7/14/60

[redacted] New York City,
advised that she was interviewed in 1958 by "STEVE"
BROADY and that her ex-husband was friendly with Mrs.
[redacted] but that she refused to give any information to
BROADY because she was then still friendly with her
ex-husband and is so today. She declined to name him
and pointed out that [redacted] was a "nut" and was
given to hallucinations.

b6
b7C

- 7 -

Interview with [redacted] File # NY 139-10
on 7/13/60 at New York, New York Date dictated 7/13/60
by Special Agent JOHN HENRY DOYLE:vmc

b6
b7C

FEDERAL BUREAU OF INVESTIGATION
INTERVIEW REPORTDate 7/14/60

Mrs. [redacted]
New York City, advised that she was contacted by
STEVE BROADY concerning [redacted] and her husband
[redacted] but that she refused to cooperate with him.
She denied that she had ever heard anything about
a wire tap from anyone any time.

b6
b7C

- 8 -

Interview with Mrs. [redacted] File # NY 139-10
on 7/12/60 at New York City Date dictated 7/13/60
by Special Agent JOHN HENRY DOYLE:vmc

b6
b7C

FEDERAL BUREAU OF INVESTIGATION
INTERVIEW REPORTDate 7/14/60

[redacted] formerly
of the Parkside Hotel, New York City, advised that he
knew [redacted] but has not seen her since 1958.
He stated that she told him that a private detective
named "STEVE" BROADY was investigating her but he did
not recall her mentioning anything about wire tapping.
Mr. [redacted] further denied that anyone else had mentioned
a wire tap to him.

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b7C

- 9 -

Interview with [redacted] File # NY 139-10
on 7/13/60 at New York City Date dictated 7/13/60
by Special Agent JOHN HENRY DOYLE:vmc

b6
b7C

August 10, 1960

Airtel

To: SAC, New York (139-10)

From: Director, FBI (139-149)"

JOHN G. BROADY, et al.
UPUC

Rerep Special Agent John Henry Doyle, 7-25-60,

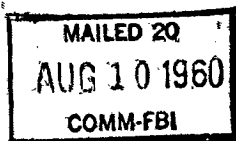
Buairtel 7-5-60 instructed that U. S. Attorney should be closely followed until he renders a firm opinion. Advise dates of contacts of U. S. Attorney, present status and date report will be submitted setting forth U. S. Attorney's opinion.

WLM:lers
(4)

REC-68

139-149-133

19 AUG 11 1960



Tolson _____
Mohr _____
Parsons _____
Belmont _____
Callahan _____
DeLoach _____
Malone _____
McGuire _____
Rosen _____
Tamm _____
Trotter _____
Wick _____
Tele. Room _____
Ingram _____
Gandy _____

50 AUG 15 1960

MAIL ROOM ☒ TELETYPE UNIT ☐

FBI

Date: 8/17/60

Transmit the following in _____
(Type in plain text or code)

AIRTEL

Via _____
(Priority or Method of Mailing)

I
TO: DIRECTOR, FBI (139-149)
FROM: SAC, NEW YORK (139-10)
RE: JOHN G. BROADY; ET AL
UPUC

Rebuairtel 8/10/60.

AUSA [redacted] SDNY, contacted on 7/29,
8/5, 8/10 and 8/16/60, and still has case under consideration.
He has not rendered a firm opinion as yet and will be closely
followed. He is considering this case in conjunction with the
consolidated cases in Bufile 139-1007. Next contact with AUSA
set for 8/22/60.

b6
b7c

3 Bureau (139-149)
1-NY 139-10
1-NY 139-88

JDO:MGH
(6)

REC-41

EX 109

139-149-134

25 AUG 18 1960

Approved: _____
Special Agent in Charge

Sent _____ M Per _____

62 AUG 23 1960

F B I

Date: 8/26/60

Transmit the following in PLAIN TEXT

(Type in plain text or code)

Via AIRTEL

(Priority or Method of Mailing)

Mr. Tolson	_____
Mr. Mohr	_____
Mr. Parsons	_____
Mr. Belmont	_____
Mr. Callahan	_____
Mr. DeLoach	_____
Mr. Malone	_____
Mr. McGuire	_____
Mr. Rosen	_____
Mr. Tamm	_____
Mr. Trotter	_____
Mr. W.C. Sullivan	_____
Tele. Room	_____
Mr. Ingram	_____
Miss Gandy	_____

TO : DIRECTOR, FBI (139-149)

FROM : SAC, NEW YORK (139-10)

SUBJECT: JOHN G. BROADY;
ET AL
UPUC

Remyairtel, 8/17/60.

AUSA [REDACTED] SDNY, advised that he would decline
prosecution in instant case.

Closing report will be submitted.

3-Bureau (139-149)
1-New York (139-10)

JHD:mau
(5)

REC-89

139-149-135

20 AUG 27 1960

EX-112

SIX

Approved: _____

Special Agent in Charge

Sent _____

M

Per _____

62 SEP 1 1960

b6
b7Cb6
b7Cb6
b7C

9/7/60

AIRTEL

To: SAC, New York (139-10)
From: Director, FBI (139-149)
JOHN G. BROADY, et al.
UPUC

phi
Reurairtel 8/26/60.

**Expedite submission of your report and
advise date report being submitted.**

WLM: aeo *aes*
(4)

EX 10
REC- 26 **139-149-136**
19 SEP 8 1960

MAILED 25
SEP 7 - 1960
COMM-FBI

Tolson _____
Mohr _____
Parsons _____
Belmont _____
Callahan _____
DeLoach _____
Malone _____
McGuire _____
Rosen _____
Tamm _____
Trotter _____
W.C. Sullivan _____
Tele. Room _____
Ingram _____
Gandy _____

50-SEP 9 1960
[Signature]
MAIL ROOM ☒ **TELETYPE UNIT** ☐

9-14

F B I

Date: 9/8/60

Transmit the following in _____
(Type in plain text or code)Via _____ AIRTEL _____
(Priority or Method of Mailing)

TO: DIRECTOR, FBI (139-149)
FROM: SAC, NEW YORK (139-10)
RE: JOHN G. BROADY; ET AL
UPUC

Rebuairtel 9/7/60.

Report will be submitted by 9/14/60.

3-Bureau (139-149)
1-New York (139-10)

JHD:MGH
(5)

REC-11 109

139-149-137

8 SEP 9 1960

59 SEP 13 1960

Approved: _____
Special Agent in Charge

Sent _____ M Per _____

FEDERAL BUREAU OF INVESTIGATION

Reporting Office NEW YORK	Office of Origin NEW YORK	Date 9/14/60	Investigative Period 7/29 - 9/12/60
TITLE OF CASE JOHN G. BROADY, aka; ET AL		Report made by JOHN HENRY DOYLE	Typed By: mgh
		CHARACTER OF CASE UNAUTHORIZED PUBLICATION OR USE OF COMMUNICATIONS	

Synopsis:

REFERENCES

Report of SA JOHN HENRY DOYLE, 7/20/60, New York
Buairtel to New York 8/10/60, 9/7/60
NY airtels to Bureau 8/17/60, 8/26/60

-C-

Approved <i>[Signature]</i>	Special Agent In Charge	Do not write in spaces below	
Copies made: 2-Bureau (139-149) 1-USA, SDNY (AUSA <input type="checkbox"/>) 1-New York (139-10)		139-149-138	
		9 SEP 15 1960	REC-4 EX 109

COVER PAGE

-A*-

1cc: AAG Criminal Division
Form 6-94 *9/19/60*

Property of FBI - This report is loaned to you by the FBI, and neither it nor its contents are to be distributed outside the agency to which loaned.

50 SEP 20 1960

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to: 1- USA, SDNY (AUSA [redacted])

b6
b7CReport of: SA JOHN HENRY DOYLE
Date: 9/14/60

Office: NEW YORK

File Number: NY 139-10

Bureau 139-149

Title: JOHN G. BROADY

Character: UNAUTHORIZED PUBLICATION OR USE OF COMMUNICATIONS

Synopsis: AUSA, SDNY, declined prosecution in instant case.

-C-

DETAILS

Assistant United States Attorney [redacted]
[redacted] Southern District of New York,
advised on August 26, 1960, that he would decline
prosecution in instant matter because of State sentence
in instant matter and after considering all the facts,
as set forth in previous reports.

b6
b7C

-1*-

DIRECTOR, FBI

12/13/68

SAC, NEW YORK

JESUN DE GALINDEZ-JUANES
MISCELLANEOUS-INFORMATION CONCERNING
(LATIN AMERICAN SECTION)
(Bufile 100-375346)
(Legat, [redacted])
(NYfile 79-131) (P*)
(OO: NY)

b7E
b3

[redacted]
IS - DR
IA - DR
(Bufile [redacted])
(Legat, SAN [redacted])
(NYfile [redacted]) (P*)
(OO: NY)

b6
b7C
b7E
b3

ReNYlet, 10/3/68.

On 12/6/68, Mr. [redacted] Assistant District Attorney, New York County District Attorney's Office, 155 Leonard St., NYC, advised SA [redacted] that the JOHN G. BROADY Wiretapping and Conspiracy case has not, as yet, been assigned a trial date. He stated that he himself has been assigned to handle the trial in this case and he estimated that as of this time the case will probably go to trial in the early spring of 1969.

b6
b7C

O-Bureau (RM)

(E-100-375346) (GALINDEZ)

(E- [redacted])
(1-Legat, Santo Domingo) [redacted] (GALINDEZ)
(1-Legat, [redacted])

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1-New York [redacted]

1-New York (79-131) (GALINDEZ)

EJDKXb
(3)

159-149
NOT RECORDED
183 DEC 31 1968

ORIGINAL FILED IN 100-375346-1731

254
JAN 15 1969

~~Classified~~

in
Mahindz
Case

NY 72-131

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LEAD

NEW YORK

AT NEW YORK, NEW YORK.

Will maintain contact with the New York County District Attorney's Office and at the conclusion of the JOHN G. BROADY et al Wiretapping and Conspiracy trial, will submit a recommendation with respect to contacting someone in the New York County District Attorney's Office regarding the information received from [redacted] pertaining to the allegations made by JOHN G. BROADY regarding the disappearance of GALINDEZ.

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b7C

MR. W. C. SULLIVAN

January 24, 1962

MR. D. E. MOORE

cc Mr. Belmont
Mr. Sullivan
Mr. Evans
Mr. Donahoe
Mr. [redacted]
139-149 (Broady)

JESUS de GALINDEZ - SUAREZ
MISCELLANEOUS - INFORMATION
CONCERNING

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De Galindez is the former Columbia University professor who disappeared under mysterious circumstances in March, 1956, and is believed to have been abducted on orders from former dictator Trujillo of the Dominican Republic. Departmental Attorney Bill Hundley called me today to advise that at the request of the Attorney General he had contacted the State Department and asked State to see if they couldn't develop some information concerning the abduction of DeGalindez from sources in the Dominican Republic.

Hundley said he was just calling to let us know of this request. In this connection we have previously requested the State Department to attempt to develop information of this nature, our last request being by letter to State dated 1-11-62 under the caption "Dominican Intelligence Activities - IS - Dominican Republic."

Hundley also volunteered during his call that he had heard that District Attorney [redacted] in New York had recently brought convicted wiretapper John G. Broady from Auburn Prison where he is serving a state term for a wiretapping violation to the Tombs and Broady has been there for about three weeks. [redacted] has recently indicted [redacted] a NYC private detective, on a wiretapping charge and Hundley said that he thought it was possible that [redacted] may be attempting to obtain information on the DeGalindez case by pressure on these two individuals as both had, in the past, been reportedly connected with this matter. Hundley said that he had no direct information on this matter, but thought he would bring it to our attention.

Broady and [redacted] both were investigated by the Bureau in connection with the DeGalindez disappearance and they both denied knowledge of it.

ASAC [redacted] NYO, was telephonically advised of the information about Broady and [redacted] and was requested to be alert to this

DEM:td (8)

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ORIGINAL COPY

MR. [REDACTED] - MR. SULLIVAN
JESUS de GALINDEZ - SUAREZ
MISCELLANEOUS - INFO CONCERNING

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b7C

situation and immediately advise the Bureau should Broady or
[REDACTED] furnish any new information concerning the DeGalindez
case.

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ACTION:

For information. We are continuing to interview Dominican exiles and all logical sources in an attempt to obtain the true facts concerning the DeGalindez disappearance.

FEDERAL BUREAU OF INVESTIGATION
FOI/PA
DELETED PAGE INFORMATION SHEET
FOI/PA# 1451834-0

Total Deleted Page(s) = 8

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Page 10 ~ b6; b7C; b7D;
Page 12 ~ b6; b7C;
Page 14 ~ b6; b7C;
Page 15 ~ b6; b7C;
Page 16 ~ b6; b7C;
Page 17 ~ b6; b7C;
Page 18 ~ b6; b7C;

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FEDERAL BUREAU OF INVESTIGATION
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Page 16 ~ b6; b7C;
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46-51211-1



Capital Corp.

• R. D. 1, IMPERIAL, PENNSYLVANIA • 15126

• 899-2291 — Area Code 412

October 9, 1964

[Redacted]

Sun Capital Corp.

R. D. #1

Imperial, Pennsylvania 15126

Gentlemen:

We, the undersigned, the purchasers of all of the outstanding stock of Sun Capital Corp., now owned by [Redacted]

[Redacted] hereby represent to you and your stockholders that we will not use any of the funds of Sun Capital Corp., including the loan from the Small Business Administration to Sun Capital Corp., toward the purchase price of the stock owned by you and your stockholders.

This representation is made to you to induce you and your stockholders to sell your stock to us and we intend to be bound by this covenant and representation.

Very truly yours,

ls

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Federal Bureau of Investigation
Records Branch10/15/64, 19__

☐ Name Searching Unit - Room 6527
☐ Service Unit - Room 6524
☐ Forward to File Review
☒ Attention HARTLEY
☒ Return to BEZDEK 2254
 Supervisor Room Ext.

Type of References Requested:

☐ Regular Request (Analytical Search)
☐ All References (Subversive & Nonsubversive)
☐ Subversive References Only
☒ Nonsubversive ^{see} References Only
☒ Main References Only

Type of Search Requested:

☐ Restricted to Locality of _____
☐ Exact Name Only (On the Nose)
☒ Buildup ☐ Variations

Subject PETER F. CROSBY, III

Birthdate & Place _____

Address _____

Localities _____

R# _____ Date 10/15 Searcher Initials Thuk

Prod. _____

FILE NUMBER

SERIAL

	<i>np</i>
	<i>Peter Francis</i>
<i>I</i>	<i>92-5799-13, p. 42;</i>
<i>I</i>	<i>92-7236-2;</i>
	<i>Peter</i>
<i>NP</i>	<i>87-73988</i>
<i>NP</i>	<i>87-71640</i>
<i>I</i>	<i>87-15721</i>
<i>I</i>	<i>87-49624</i>
	<i>87-15721-12 7</i>
<i>I</i>	<i>87-0-A-N.Y. Mirror 6/18/60</i>
<i>I</i>	<i>66-18754-110,</i>
	<i>Other breakdowns</i>
	<i>not searched</i>

Federal Bureau of Investigation
Records Branch**10/15/64**

, 19__

☐ Name Searching Unit - Room 6527
☐ Service Unit - Room 6524
☐ Forward to File Review
☒ Attention **HARTLEY**
☒ Return to **BEZDEK 2254**
 Supervisor Room Ext.

Type of References Requested:

☐ Regular Request (Analytical Search)
☐ All References (Subversive & Nonsubversive)
☐ Subversive References Only
☒ Nonsubversive References Only
☒ Main References Only

Type of Search Requested:

☐ Restricted to Locality of _____
☒ Exact Name Only (On the Nose)
☐ Buildup ☐ Variations

Subject **NEW YORK MONETARY FUND**

Birthdate & Place _____

Address _____

Localities _____

R# _____

Date

10/15

Searcher

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Prod. _____

FILE NUMBER

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10/15/64 , 1964

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☐ Regular Request (Analytical Search)
☐ All References (Subversive & Nonsubversive)
☐ Subversive References Only
☒ Nonsubversive References Only
☒ Main References Only

☐ Restricted to Locality of _____

☒ Exact Name Only (On the Nose)

☐ Buildup ☐ Variations

Subject RAY E. PIERSON
Birthdate & Place _____
Address _____

Localities _____

R# _____ Date 10/15 Searcher _____
Initials Frank

Prod. _____

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☐ Regular Request (Analytical Search)
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☒ Subversive References Only
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all Main _____ References Only

☐ Restricted to Locality of _____
☒ Exact Name Only (On the Nose)
☐ Buildup ☐ Variations

Subject ROOSEVELT CAPITAL CORP.
 Birthdate & Place _____
 Address _____

Localities _____

R# _____ Date 10/15 Searcher _____
Initials Hunk

Prod. _____

FILE NUMBER	SERIAL
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<input type="checkbox"/>	Forward to File Review
<input checked="" type="checkbox"/>	Attention <u>HARTLEY</u>
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	Supervisor Room Ext.

☐ Regular Request (Analytical Search)
☐ All References (Subversive & Nonsubversive)
☒ Subversive References Only
☒ Nonsubversive References Only
all ☒ Main _____ References Only

☐ Restricted to Locality of _____
☒ Exact Name Only (On the Nose)
☐ Buildup ☐ Variations

Subject SUN CAPITAL CORP

Birthdate & Place

Address

Localities

R# _____ Date 10/15 Searcher
Initials Shub

Prod. _____

FILE NUMBER

SERIAL

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<input type="checkbox"/>	Service Unit - Room 6524
<input type="checkbox"/>	Forward to File Review
<input checked="" type="checkbox"/>	Attention <u>HARTLEY</u>
<input checked="" type="checkbox"/>	Return to <u>BEZDEK 2254</u>
	Supervisor Room Ext.

☐ Regular Request (Analytical Search)
☐ All References (Subversive & Nonsubversive)
☐ Subversive References Only
☒ Nonsubversive References Only
☒ Main References Only

☐ Restricted to Locality of _____
☒ Exact Name Only (On the Nose)
☐ Buildup ☐ Variations

Subject WICK INVESTING CO.
Birthdate & Place _____
Address _____

Localities _____

R# _____ Date 10/15 Searcher Initials 7/16

Prod. _____

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Wick Investing Corp.
92-7265-25, p. 11; 43
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Report by Ray Connolly, New York Reg. Office

I-A

7/20/64

Roosevelt Capital Corp. - License No. 02-0108
600 Old Country Road, Garden City, N.Y.

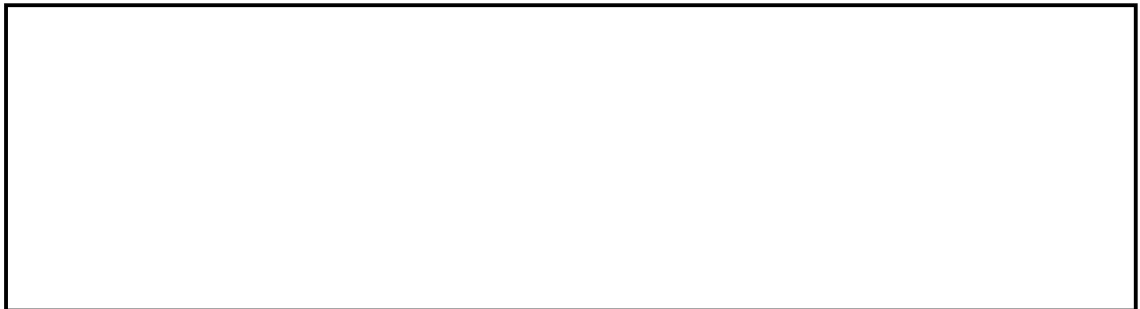
Conferred with Mr. Charles Shapiro who conducts various real estate enterprises from his offices in the Franklin National Bank Building, Roosevelt Field, L.I. Mr. Shapiro stated that the original proponents sold their interests, two months ago, to Mr. Ray Pearson, 40 Wall St., N.Y.C. He indicated the sale was approved by Washington. Regional files do not evidence said change. I. D. Chief requests details from Washington Office, if available.

See additional comments under date of July 31st on separate sheet.

Date

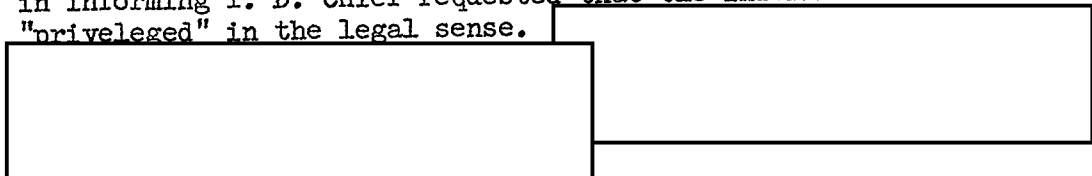
7/31/64

Roosevelt Capital Corp. - License No. 02-0108
600 Old Country Road, Garden City, N. Y.



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in informing I. D. Chief requested that the information be held "privileged" in the legal sense.



I. D. Chief, checked lobby directory of 40 Wall St., and found listed in Suite 3601 the following individuals and entities sharing the same suite as

Ray E. Pierson:
Snow Sweeny & Co., Inc.



Contractors Guild Inc.

L. Olanow
Public International Housing Corp.
Elsa L. Schulze

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Upon advice that Ray E. Pierson has been cleared by Washington as the new principal, I. D. Chief will arrange to visit for a conference.

I-B

SEPTEMBER 1, 1964

MR. RICHARD E. KELLEY
DEPUTY ADMINISTRATOR
SMALL BUSINESS ADMINISTRATION
WASHINGTON, D. C.

DEAR MR. KELLEY:

ON MAY 27 OF THIS YEAR WE SIGNED AN AGREEMENT WITH A SMALL BUSINESS INVESTMENT CORPORATION IN NEW YORK CITY OPERATING UNDER THE NAME OF ROOSEVELT CAPITAL CORPORATION WITH OFFICES REPORTED TO BE AT 600 OLD COUNTRY ROAD, GARDEN CITY, LONG ISLAND AND 40 WALL STREET, NEW YORK CITY.

THE LOAN AGREEMENT WAS THE RESULT OF SEVERAL MONTHS NEGOTIATION WITH MR. PETER CROSBY III AND, AT FINALIZING THE AGREEMENT WITH A MR. RAY PIERSON THE SIGNING OFFICER FOR ROOSEVELT. THE AGREEMENT WAS DRAWN BY [REDACTED] OF THE FIRM OF FISHER, OKIN, GLEIBERMAN AND EZRINE WITH OFFICES AT 30 BROAD STREET, NEW YORK 4, NEW YORK.

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THE PRINCIPAL AMOUNT OF THE LOAN WAS TO BE \$22,000.00, A GREATER PART OF WHICH WAS REQUIRED FOR THE ACQUISITION OF A PLANT IN ELIZABETH, N. J.; MAKING THE NECESSARY IMPROVEMENTS TO THE PLANT TO MAKE IT OPERATIONAL; AND FOR ADDITIONAL WORKING CAPITAL AS OUTLINED IN A FORMAL PROSPECTUS DETAILING OUR NEEDS, CORPORATE STRUCTURE, HISTORY IN OUR FIELD, ORDERS ON HAND AND OTHER PERTINENT DATA.

AT THE TIME OF THE ACTUAL SIGNING OF THIS AGREEMENT ON MAY 27, MR. RAY PIERSON IN [REDACTED] OFFICES IN NEW YORK CITY, REPRESENTING ROOSEVELT CAPITAL EXPLAINED THAT THEY WERE AWAITING ADDITIONAL FUNDS FROM WASHINGTON FROM THE SBA AND THAT THE PAYMENT TERMS OF THE LOAN PRINCIPAL AS ORIGINALLY AGREED TO WOULD HAVE TO BE MODIFIED TO PROVIDE FOR A SERIES OF PAYMENTS OVER A PERIOD OF THIRTY (30) DAYS INSTEAD OF IN A LUMP SUM AS ORIGINALLY AGREED.

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UNDER THESE NEW TERMS, A CHECK WAS RECEIVED FOR \$4,400.00 ON THE SIGNING OF THE AGREEMENT ON MAY 27. THE CONTRACT THEN PROVIDED FOR A SECOND PAYMENT OF \$4,400.00 WITHIN TEN (10) DAYS THEREAFTER.

/-2-

(15) DAYS LATER: AND THE BALANCE OF \$6,600.00 WITHIN (45) FORTY FIVE DAYS OF THE ORIGINAL SIGNING OF THE CONTRACT. THIS WAS A HARDSHIP IN THAT OUR PROGRAM WAS PREDICATED ON A LUMP SUM PAYMENT IN THAT OUR AGREEMENT ON THE PURCHASE OF THE PLANT IN ELIZABETH - WHICH WAS NOW FIRM BASED ON ROOSEVELT'S COMMITMENT- DEMANDED IMMEDIATE CASH OUTLAYS. IN ANY EVENT, WE AGREED TO THESE CONDITIONS AND ADJUSTED OUR PROGRAM ACCORDINGLY, HOWEVER, WE IMMEDIATELY ARRANGED FOR OCCUPANCY OF THE PLANT AND THE HIRING OF ADDITIONAL LABOR. OUR BUSINESS IS THE DESIGN AND FABRICATION OF PRECONSTRUCTED BUILDINGS AND WE HAD BONIFIED ORDERS THAT DEMANDED IMMEDIATE ATTENTION. IN LINE WITH THIS, WE BEGAN ORDERING STEEL AND OTHER MATERIALS, AGAIN BASED ON THE COMMITMENT OF THIS SMALL BUSINESS INVESTMENT CORPORATION.

THE FIRST PAYMENT BECAME DUE TEN (10) DAYS FOLLOWING THE SIGNING OF THE AGREEMENT AND NO FUNDS WERE RECEIVED. WE WERE TOLD THAT WASHINGTON WAS HOLDING UP THEIR FUNDS. THE SECOND PAYMENT CAME DUE AND NO FUNDS WERE RECEIVED. MEANWHILE, AS BEFORE STATED, WE HAD TAKEN OCCUPANCY OF THE NEW PLANT, BEGUN THE RENOVATING PROGRAM ORIGINALLY PLANNED AND HIRED ADDITIONAL LABOR. WE BEGAN TO FALL BEHIND ON OUR COMMITMENTS AND WERE FACED WITH THE DESPERATE NECESSITY OF EITHER FORFEITING OUR EQUITY IN THE COMPANY, LAYING OFF ALL THE MEN THAT HAD BEEN HIRED AND COMPLETELY LOSING THE FABRICATION CONTRACTS WE HELD OR IMMEDIATELY PRODUCING ADDITIONAL CAPITAL.

WE MADE DAILY CALLS TO MR. CROSBY, MR. PIERSON AND [REDACTED] THE ATTORNEY. WE GOT ABSOLUTELY NO SATISFACTION BEYOND THE PROMISE OF COMPLETE PAYMENT "IN A COUPLE OF DAYS".

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WE HAD NO ALTERNATIVE BUT TO REQUEST THAT OUR ATTORNEY, [REDACTED]

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NOTIFY MR. CROSBY, MR. PIERSON AND THEIR ATTORNEY [REDACTED] OF OUR INCREASINGLY DESPERATE AND DAMAGED POSITION. AT THIS POINT, ROOSEVELT SUGGESTED THAT WE ACCEPT A SERIES OF NOTES IN PAYMENT OF THE REMAINING BALANCE AND THIS WE FINALLY AGREED TO DO.

THE FIRST NOTE IN THE AMOUNT OF \$4,000.00 WAS MADE PAYABLE JOINTLY TO TRANS-STEEL INDUSTRIES AND JOHNSON MACHINERY CO. FROM WHOM WE WERE PURCHASING THE PLANT. THIS WAS A THIRTY (30) DAY NOTE, THE BALANCE OF THE SERIES OF NOTES WERE PAYABLE SIXTY (60) DAYS. WE AGREED TO ACCEPT THE NOTES SUBJECT

-3-

TO OUR ABILITY TO GAIN IMMEDIATE ACCEPTANCE OF THE NOTES, EITHER DISCOUNTING THEM AT A BANK OR HAVING THEM ACCEPTED BY SUPPLIERS. MOST OF THEM WERE REFUSED. WE WERE ABLE TO PLACE ONE FOR \$4,000.00 WITH JOHNSON MACHINERY CO. IN FULFILLMENT OF OUR DOWN PAYMENT ON THE PURCHASE OF THE PLANT AND WE DISCOUNTED ONE FOR \$3,000.00, PAYABLE SIXTY (60) DAYS AT OUR BANK ON MY PERSONAL SIGNATURE.

THE JOHNSON MACHINERY CO. NOTE CAME DUE ON JULY 27 AND WAS PROTESTED BY THE FIRST NATIONAL CITY BANK OF NEW YORK, WALL STREET BRANCH FOR "INSUFFICIENT FUNDS". THIRTY DAYS LATER THE NOTE AT OUR BANK WAS ALSO RETURNED FOR THE SAME REASON. THIS OCCURRED LAST TUESDAY, AUGUST 25. AS I AM SURE YOU CAN UNDERSTAND, OUR POSITION IS CRITICAL. WE URGENTLY NEED YOUR HELP.

THE SERIES OF EVENTS AS I HAVE OUTLINED HEREIN IS ALMOST UNBELIEVABLE TO ME! CERTAINLY INCONCEIVABLE THAT A GOVERNMENT REGULATED SMALL BUSINESS INVESTMENT CORPORATION - AS I UNDERSTAND THE INTENT AND REASON FOR CREATION OF THE INVESTMENT ACT ITSELF - WOULD BE PERMITTED TO OPERATE IN THIS FASHION.

WE ARE GREATLY ALARMED. I'D APPRECIATE YOUR IMMEDIATE ADVICE AS TO WHAT ACTION THE SMALL BUSINESS ADMINISTRATION MIGHT TAKE, OR PERHAPS HAS ALREADY TAKEN IN REGARD TO THIS PARTICULAR SBIC. I EVEN WONDER IF THEY ARE DULY CHARTERED. DO YOU HAVE A LOAN APPLICATION PENDING TO ROOSEVELT THAT IS BEING HELD UP FOR ANY REASON? CERTAINLY ACTIVITY OF THIS SORT IS NOT SANCTIONED BY THE SBA!

RECENTLY, WE HAVE DISCOVERED A MOST FORTUNATE INTEREST ON THE PART OF THE PRINCIPALS IN ANOTHER SBIC, ONE THAT I AM CONVINCED IS OF THE HIGHEST INTEGRITY AND ONE WHOSE PRINCIPALS ARE INTIMATELY ACQUAINTED WITH OUR BUSINESS. I REFER TO THE TALCO CAPITAL CORP. OF 350 FIFTH AVENUE, NEW YORK CITY. NEW YORK AND ITS PRINCIPALS [REDACTED] AND [REDACTED]

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AS I MENTIONED BRIEFLY, OUR BUSINESS IS DESIGNING AND FABRICATING [REDACTED] PORTABLE BUILDINGS AND [REDACTED] STRUCTURES OF THE TYPE WE FABRICATE - [REDACTED] THE

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[REDACTED] A CLOSELY RELATED INDUSTRY AND ONE THAT WAS FOUNDED SOME YEARS AGO BY [REDACTED] AND OPERATED WITH TREMENDOUS SUCCESS FOR A GREAT MANY YEARS.

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I FEEL CERTAIN, BASED ON SEVERAL MEETINGS WITH [REDACTED] AND [REDACTED] THAT WE CAN ARRIVE AT AN IMMEDIATE SOLUTION TO OUR PROBLEMS WITH THEIR ECONOMIC SUPPORT AND MANAGEMENT GUIDANCE. IT IS ESSENTIAL, HOWEVER, THAT WE GIVE THEM REASONABLE ASSURANCE OF OUR POSITION WITH ROOSEVELT AND LEGALLY, BASED ON OUR ATTORNEYS EVALUATION, ROOSEVELT IS MOST CERTAINLY IN ABSOLUTE AND COMPLETE DEFAULT. WE WOULD APPRECIATE AN IMMEDIATE WORD FROM YOU AS TO THE STATUS OF ROOSEVELT IN ITS RELATIONSHIP WITH THE SBA.

SINCE OUR NEED IS ABSOLUTELY URGENT, WE WOULD APPRECIATE AN IMMEDIATE WORD FROM YOU. MANY THANKS.

YOURS SINCERELY,

PRECON STRUCTURES DIVISION

ALC/BS

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AGREEMENT made as of the 28th day of April, 1964,

by and between [REDACTED]

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[REDACTED]

and such other Stockholders of ROOSEVELT CAPITAL CORP., as may subscribe this agreement prior to expiration date of the letter of credit and become a party herein (herein collectively called "Stockholders").

W I T N E S S E T H :

WHEREAS,

(a) Roosevelt Capital Corp., (herein called "Roosevelt") is a small business investment corporation organized by and under the laws pertaining to such corporations and under the jurisdiction and control of the Small Business Administration;

(b) The parties contemplate that [REDACTED] shall purchase and the Stockholders sell all of the issued and outstanding stock of Roosevelt upon the terms herein set forth,

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NOW, THEREFORE, it is agreed as follows:

1. [REDACTED] shall purchase and the Stockholders shall sell all of the issued and outstanding stock of Roosevelt for an aggregate purchase price of One Hundred and Sixty Thousand (\$160,000.) Dollars payable at closing as herein provided. If all the outstanding shares of Roosevelt Capital Corp., are not offered for sale, [REDACTED] may at his option, purchase less, but shall not be required to, without his prior written consent, purchase such of said issued and outstanding stock offered after the closing.

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2. On or before May 1, 1964, [REDACTED] shall cause to be issued by the Farmers Trust Company, New York, an irrevocable 30-day letter of credit in the sum of One Hundred and

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Sixty Thousand (\$160,000.) Dollars which shall provide for payment of said sum against delivery of 1550 shares of the capital stock of Roosevelt, which number of shares the Stockholders warrant and represent to be the entire issued and outstanding shares of said Corporation, said stock to be delivered free and clear in all respects, duly endorsed for transfer to [] or his nominees and with all necessary transfer stamps thereon duly affixed. If closing is not had as herein provided within said 30-day period, said letter of credit shall expire by its terms.

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3. The Stockholders shall at [] expense, cause Roosevelt forthwith to prepare amendments to the licensing proposal of Roosevelt for submission to and approval of the Small Business Administration, which amendments shall provide for such change in officers and directors of Roosevelt as shall be requested by [] and for change of address. The Stockholders and [] shall fully cooperate in furnishing all information and documents necessary to the preparation of said amendments. If same are not approved by the Small Business Administration within 30 days from date of the issuance of said letter of credit, [] ^{will} ~~may at his option~~ cause title to be closed as herein provided on or before the date of expiration of said letter of credit, provided such transaction is permitted by the Small Business Administration and the Stockholders and Roosevelt are not prohibited from doing so. The closing shall be held at such time and place in New York City, and on such date as [] ^{or the Stockholders} may fix, provided same is held on or before the expiration date of said letter of credit. Notice of such closing shall be given by [] ^{or the Stockholders} at least 48 hours prior to the date fixed for same, but not prior to 25 days from date hereof unless agreed to by the Stockholders.

4. ~~Notwithstanding anything herein contained if the Small Business Administration has not approved such amendments on~~

or before the expiration date of said letter of credit and if

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has not elected to close by notice in writing as herein provided without such approval, this agreement shall at the expiration of said 30-day period be deemed terminated, null and void and of no further force and effect, neither party shall have any further obligations hereunder and ~~said letter of credit may expire by its terms.~~ If, at closing, less

than 100% of the issued and outstanding stock is accepted by the price for such stock per share shall be the sum of \$160,000.00

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MC
divided by 1550. In addition, ^{less the 51% of} if all Stockholders of Roosevelt have not subscribed this agreement to the latter may at his option forthwith terminate this agreement, whereupon same shall be null and void and of no further force and effect.

5. At closing, against payment of the price of stock to be purchased hereunder, the Stockholders shall deliver to the following:

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(A) All books, records and documents pertaining to Roosevelt including but not limited to stock and minute books, tax returns, contracts, books of accounts and the assets of Roosevelt as hereinafter set forth subject to the liabilities as hereinafter set forth.

(B) Resignations of the present officers and directors of Roosevelt as requested by

(C) The stock to be purchased duly endorsed with transfer tax stamps thereunto affixed as hereunto stated.

(D) Such other papers and documents as may be required to effectuate the transfer herein.

6. The Stockholders warrant and represent that

(A) Roosevelt is a New York corporation duly organized by and under the Small Business Investment Act of 1958 as amended, is validly existing and in good standing under such laws and

has the power to own its property and carry on its business as a small business investment corporation.

(B) Roosevelt has duly complied with all of the laws, regulations, rules, order and applicable directives or releases of the United States Government and of any administration, department and authority thereof including the Small Business Administration and of all states and any subdivisions thereof in which it is authorized to do business or is engaged in business.

(C) At the time of the closing, the assets of Roosevelt will consist of cash or United States Treasury Bills, \$82,000.00 due April 30, 1964; \$105,000.00 due May 14, 1964, and the balance cash, for a total of \$305,000.00.

Its liabilities will consist of \$150,000.00 of loans by the Small Business Administration.

The Stockholders may avail themselves of the proceeds of the letter of credit heretofore mentioned, to make up any part of the aforesaid \$305,000.00. It is distinctly understood that Roosevelt at the present time does own a portfolio of investments which the Stockholders will simultaneously with the closing herein, purchase at par, the price for same to constitute part of the aforementioned cash balance.

(D) There are no contingent liabilities of whatsoever kind or nature, tax or otherwise of Roosevelt.

(E) The authorized capital stock of Roosevelt consists of 1550 shares of common of which 1550 are duly and validly issued and outstanding, fully paid and non-assessable and 1000 shares of preferred stock, none of which have been issued. Same will be the sole issued and outstanding shares as of closing date and no shares are subject to issuance on account of any option, conversions or other

rights to purchase same.

(F) Roosevelt has not declared and shall not declare or pay any dividend or declare or make any distribution or authorize the creation or issuance of any stock nor will it take any action pertaining to reorganization, consolidation, merger, reclassification, change in capital structure or in any respect engage in any business without the prior written consent to [REDACTED]

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(G) Roosevelt has filed all necessary and appropriate tax returns and has paid all taxes. It has good and marketable title to the assets set forth in 5 (C) hereof and none of the same is subject to any encumbrance, lien or charge of any kind or nature.

(H) There are no contracts presently outstanding to which Roosevelt is a party and no legal actions, governmental investigations or other proceedings in which it is engaged or threatened.

(I) They are the owners free and clear and unencumbered in all respects of all stock to be sold by them herein.

(J) Each of the foregoing warranties and representations shall apply from the date hereof to the closing date and shall survive such closing.

7. (A) All notices shall be by registered mail or certified mail. Notices to the Stockholders shall be care of

[REDACTED]
Tolmage and Harris, Esqs.
20 Vesey Street
New York 7, New York.

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All notices to [REDACTED] shall be care of

[REDACTED]

(B) The parties agree that no broker brought about this transaction, except that Olanow represents that [REDACTED]

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[REDACTED] acted as a finder and that [REDACTED]

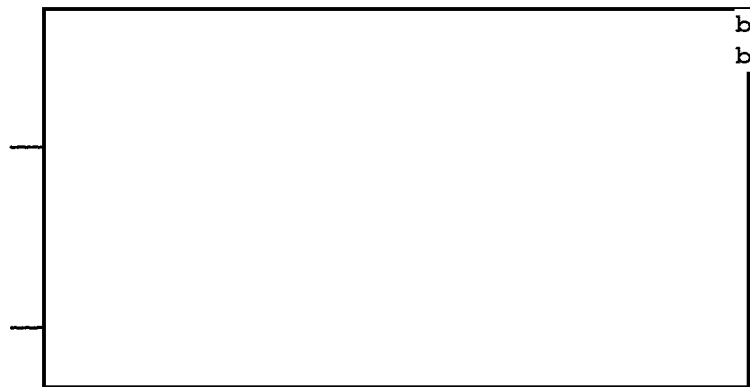
will pay him any commission or fee payable to him.

(C) No waiver hereunder shall be valid unless in writing and any waiver so given shall be limited solely to the matter waived and shall not bind the party so waiving on any other or future matter. This agreement may not be cancelled, modified, altered or amended in any respect, unless subscribed by all of the parties hereto in writing.

(D) The representations, warranties and agreements made hereby by the parties shall survive the closing hereunder.

(E) This agreement shall be binding upon and inure to the benefit of the parties hereto and their respective successors, representatives and assigns.

(F) This agreement may be separately executed in separate counterparts by the Stockholders at any time prior to the expiration day of the letter of credit hereinbefore provided for, and the various counterparts taken together shall constitute a single agreement.



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A G R E E M E N T made as of the 6th day of May, 1964, I-C

by and between [REDACTED]

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[REDACTED] and RAY PIERSON, residing at 1181 North Tamarind Avenue, North Hollywood, California (herein called "Pierson").

W I T N E S S E T H :

WHEREAS, on the 28th day of April, 1964, [REDACTED] by agreement dated that day agreed to purchase stock of ROOSEVELT CAPITAL CORP. on terms and conditions indicated therein; and

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WHEREAS, Pierson has agreed to purchase this contract and

[REDACTED] has agreed to assign the same to him,

NOW, THEREFORE, it is agreed as follows:

1. [REDACTED] assigns all of his right, title and interest in and to said contract dated April 28, 1964 to Pierson.


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2. Pierson agrees to pay [REDACTED] as consideration for said assignment the sum of \$10,000.00 as follows:

(a) \$600.00 paid on the signing of this agreement, receipt of which is acknowledged;

(b) the balance to be paid in either of one of two ways:

(i) If a letter of credit is established in the sum of \$170,000, then such letter of credit shall designate that \$10,000 will go to [REDACTED] or his designee, upon delivery



of the stock as indicated in said letter of credit
in which event \$600.00 will be returned to Pierson;
and

(11) in the event a letter of credit for the sum
of only \$150,000 shall be established, Pierson will
simultaneously pay to or his designee, the
balance of \$9400.00 due hereunder.

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IN WITNESS WHEREOF, the parties hereto have hereunto
set their hands and seals the day and year first above written.

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I-C

AGREEMENT made this 7th day of June, 1964, by and between CONTRACTORS GUILD, INC., a New York corporation, with principal office and place of business at 40 Wall Street, New York City, New York (Contractors) and WICK INVESTING CORP., OF DELAWARE, a Delaware corporation, with principal office and place of business at 10 East 40th Street, New York City, New York (Wick).

WITNESSETH:

WHEREAS, Contractors owns all of the issued and outstanding stock of ROOSEVELT CAPITAL CORP., a small business investment corporation (Roosevelt), and the parties desire that Contractors sell and Wick purchase said Roosevelt stock, on the terms and conditions herein set forth.

NOW, THEREFORE, it is mutually agreed as follows:

1. Wick shall purchase and Contractors shall sell all of the issued and outstanding stock of Roosevelt simultaneously with the execution hereof.
2. Contractors shall forthwith assign, transfer and deliver to Wick 100 shares of the Common Stock of Roosevelt, par value \$10.00 per share, which number of shares Contractors warrants and represents to be the entire issued and outstanding shares of Roosevelt. Said stock so delivered shall be free and clear in all respects, duly endorsed for transfer to Wick or its nominees, with all necessary transfer stamps thereon duly affixed.
3. In consideration for the foregoing transfer and delivery and as the purchase price thereof, Wick shall cause to be validly issued and,

simultaneously with the delivery of the aforementioned Roosevelt stock, shall cause to be delivered to Contractors or its nominees 28,181 shares of its Class "A" stock, par value \$1.00 per share, said stock to be fully paid and non-assessable and to be free and clear in all respects, except that same have not been registered under the Securities Act of 1933, have been acquired for investment and may not be sold, transferred, pledged or hypothecated in the absence of an effective Registration Statement for the shares under the Securities Act of 1933 or an opinion of Counsel to the Company that the transaction would not be in violation of the provisions of said Act.

4. Contractors warrants and represents that:

(a) the financial condition of Roosevelt set forth in the annexed Exhibit "A" was true and correct, as of the date thereof, was prepared in accordance with generally accepted accounting principles consistently applied, and truly reflects the assets and liabilities of Roosevelt, as of said date, and that since such period there has been no material adverse change therein, except that the cash assets have been invested and reinvested and in its place and stead holds notes and stocks of the companies set forth in the annexed list marked Exhibit "A-1".

(b) Roosevelt has duly complied with all of the laws, regulations, rules, orders and applicable directives or releases of the United States Government and of any administration, department and authority thereof, including the Small Business Administration and of all states and any subdivisions thereof in which it is authorized to do business or is engaged in business.

(c) There are no contingent liabilities of whatsoever kind or nature, tax or otherwise, of Roosevelt.

(d) Roosevelt has not declared and shall not declare or pay any dividend or declare or make any distribution or authorize the creation or issuance of any stock nor will it take any action pertaining to reorganization, consolidation, merger, reclassification, change in capital structure or in any respect engage in any business without the prior written consent of Contractors.

(e) Roosevelt has filed all necessary and appropriate tax returns and has paid all taxes as shown thereon. It has good and marketable title to the assets as set forth in Exhibit "A-1" hereof and none of same is subject to any encumbrance, lien or charge of any kind or nature.

(f) There are no contracts presently outstanding to which Roosevelt is a party and no legal actions, governmental investigations or other proceedings in which it is engaged or threatened, except as pertain to its investments set forth in Exhibit "A-1".

(g) They are the owners, free and clear and unencumbered in all respects, of all stock to be sold by them herein.

5. Wick warrants and represents that:

(a) Its stock issued and exchanged for the Roosevelt stock has been validly issued and is fully paid and non-assessable and is free and clear in all respects, except as aforesaid.

(b) That its financial statement annexed hereto as Exhibit "B" is true and correct and has been prepared in accordance with generally accepted accounting principles consistently applied, and truly reflects the assets and liabilities of Wick, and that since such period there has been no material adverse change therein.

(c) That it has no contingent liabilities of whatsoever kind and nature, tax or otherwise, except as set forth in Exhibit "B".

(d) The subsidiaries of Wick set forth in Exhibit "B" are its sole subsidiaries and except as set forth in Exhibit "B", or otherwise provided in the Armstrong agreement, are wholly owned by Wick, free and clear. Whenever the aforementioned assets are represented to be owned by Wick, such representation may be deemed to include ownership by said wholly owned subsidiaries.

(e) Except as set forth in Exhibit "B" and as has since been incurred in the regular and ordinary conduct of the business of Wick, there are no liabilities of any kind or nature, whether current, fixed, contingent or otherwise, of Wick.

(f) Wick has filed all federal, state and other tax returns which it is required to have filed and has paid all taxes which have become due. There has been no audit of the federal income tax returns of Wick.

(g) The business of Wick has been operating only in the regular and ordinary course since the date of the above mentioned statements.

(h) Wick is not and never has been a party defendant to any material litigation; nor is it aware of any material litigation threatened against it, except as set forth in Exhibit "C".

6. (a) All notices shall be by registered or certified mail.

(b) No waiver hereunder shall be valid unless in writing and any waiver so given shall be limited solely to the matter waived and shall not bind the party so waiving on any other or future matter. This agreement may not be cancelled, modified, altered or amended in any respect, unless

subscribed by all of the parties hereto in writing.

(c) The representations, warranties and agreements made herein by the parties shall survive the closing hereunder.

(d) This agreement shall be binding upon and inure to the benefit of the parties hereto and their respective successors, representatives and assigns.

IN WITNESS WHEREOF, the parties hereto have executed this agreement the day and year first above written.

By

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WICK INVESTING CORP. OF DELAWARE

By

EXHIBIT "A"

BALANCE SHEET AS OF MAY 14, 1964

<u>ASSETS</u>		<u>LIABILITIES</u>	
Current		20-year 5% debentures placed with the Small Business Administration \$150,000.	
Cash in Bank	\$305,000.	Capital	
		15,500 shares --	<u>155,000.</u>
Total Assets	<u>\$305,000.</u>	Total Liabilities	\$305,000.

EXHIBIT "A-1"

LIST OF INVESTMENTS BY
ROOSEVELT CAPITAL CORP.

	<u>Face Amount of Notes</u>
1) United Film World	\$60,000.00
2) Trans-World Theatricals, Inc.	60,000.00
3) Bradshaw Investments, Inc.	116,000.00
4) Mercury Mining & Milling Corporation	30,000.00
5) United States & Foreign Minerals Corp.	60,000.00
6) Trans-Steel Industries, Inc.	22,000.00 (of which \$4400.00 has been advanced to date)

Note: Roosevelt also holds stock in each of the above companies, other than Bradshaw Investments, Inc.

EXHIBIT "B"

SEMI-ANNUAL REPORT

of

WICK INVESTING CORP. OF DELAWARE

1st Half 1963/1964 Fiscal Year

heretofore examined and initialled by the parties.

EXHIBIT "C"

1. Third mortgage note covering Outrigger Apartments, Bahai Apartments, Kona Kai Apartments and Orchard Hills Apartments in Dallas, Texas.
2. Title policy with City Title Company covering the Motel on the Mountain and Garden City property.
3. Lease between the Garden City Company and R. C. B. Properties, Inc. covering the land under the Garden City stores.
4. Assignment of this lease to B. R. M. Properties, Inc. and subsequent assignment to Kelleem Realty Corp. of New York.
5. Net lease to the Granada Apartments in Houston, Texas.
6. Net lease to the Royal Palma Apartments (Section 2) of Houston, Texas.
7. Operating lease to the London Guaranty Building at 360 North Michigan Avenue, Chicago, Illinois.
8. Escrow letter signed by [redacted] attorney-at-law, in Dallas, Texas, referring to the Town House Apartments in Dallas, Winifred Apartments in Fort Worth and the Bois D'Arc Apartments in Dallas, Texas.
9. Affidavit of title signed by [redacted] inducing Strawberry Properties, Inc. to accept a general warranty deed to the Winifred Apartments.
10. Affidavit of title signed by [redacted] inducing Strawberry Properties, Inc. to accept a general warranty deed to the Town House Apartments.
11. Affidavit of title signed by [redacted] inducing Strawberry Properties, Inc. to accept a general warranty deed to the Bois D'Arc Apartments.
12. Contract of sale between Guthrie Investments and Wick of Texas, Inc.
13. Subordinated management agreement referring to Motel on the Mountain.
14. Five contracts to purchase property in Houston, Texas, by Newport Realty and all supporting documents contained in the file.
15. Loan agreements between Wick Investment Corp. and A. J. Armstrong Co., Inc. (the entire file)
16. Corporate minute book of Wick Investment Corp., of Delaware, containing minutes, by-laws and the certificate of incorporation.

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I-D

May 4, 1964

[redacted]
c/o Fisher, Gleiberman & Ezrine, Esqs.
30 Broad Street
New York, New York

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Re: Roosevelt Capital Corp.
Our file #5668

Dear [redacted]

I have given a great deal of thought to the form of setting up a letter of credit and I think the letter of credit should be set up in the following manner.

It should be in favor of [redacted] as trustee to implement an agreement between [redacted] and [redacted] dated April 28, 1964. I should be able to draw the drafts up to the amount of \$100,000.00 divisible by 15,500 (\$10.00 for each share).

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The drafts should be sight drafts and multiple drafts should be permitted.

The documents required should be as follows:

1. A minimum of 8000 shares of Roosevelt Capital Corporation properly endorsed;

2. Resignations of the Board of Directors of Roosevelt Capital Corporation;

3. A statement by [redacted] that he will furnish a certification as a trustee within 48 hours after the funds drawn under the letter of credit are received by him, that he will give the names and addresses of the bank or banks where there is then on deposit to the credit of Roosevelt Capital Corporation, the sum of \$305,000.00 and the amount in each bank.

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[REDACTED]

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May 4, 1964

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Special Instructions

If said draft or drafts are now drawn on or before June 1st, 1964, said draft or drafts will only be honored after approval by _____ and the same documents as above provided will be required.

Would you be kind enough to see that I get this letter of credit immediately.

Very truly yours,

TOLMAGE AND HARRIS

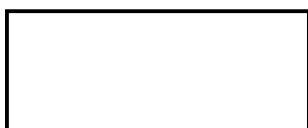
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ST:EK

[REDACTED]

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May 14, 1964.



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Re: Sale of Stock of Roosevelt Capital Corporation

Dear Sir:

I am confirming to you that I have today instructed
 of the Franklin
National Bank at Carson City, N. Y. to release to the
Roosevelt Capital Corporation \$187,000, the proceeds of
Treasury bills which were on deposit with the Carson City
Branch of Franklin National Bank to the credit of the
Roosevelt Capital Corporation.

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Very truly yours,



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DO HEREBY CERTIFY that at a meeting of the Board of Directors of said corporation, duly held on the 14th day of May, 1964, a quorum being present, the following resolutions were unanimously adopted and recorded in the minute books of said corporation, kept by me, and are in accord with and pursuant to the charter and by-laws of said corporation, and are now in full force and effect, to wit:

RESOLVED, that

1. FRANKLIN NATIONAL BANK, Mineola, N. Y. (hereinafter referred to as Bank) be and hereby is designated as a depository of this corporation, and it is hereby authorized to pay, cash or otherwise honor and charge to this corporation any and all checks, notes, drafts, bills of exchange, acceptances, orders or other instruments for the payment of money or the withdrawal of funds, when signed, made, drawn, accepted or indorsed on behalf or in the name of this corporation by any person then holding any of the following offices or by any of the following named signatories, without counter-signature or co-signature except to the extent indicated as follows:

2. Said Bank is further authorized to pay, cash or otherwise honor and charge to this corporation any such instrument without regard to any notation on any part thereof indicating the effect, purpose or condition of its issuance, delivery, receipt or acceptance, and without regard to any alteration, defacement or erasure of such notation, and said Bank is expressly relieved of any duty on its part to pass upon the regularity of such notation, or to make any inquiry in respect thereof or in respect of any alteration, defacement or erasure thereof. Said Bank may conclusively assume that the date of any such instrument, acceptance or indorsement is the true date of the making, drawing, acceptance or indorsement, as the case may be, completed in each instance by delivery on that date.

3. Said Bank is hereby authorized to pay, cash or otherwise honor and charge to this corporation any such instrument and any instrument payable to or held by this corporation when indorsed as aforesaid, and also to receive same for credit to the account of or in payment from the payee, indorsee or any other holder thereof (including any officer, agent or signatory of this corporation), without limitation of amount and without inquiry as to the circumstances of issue, negotiation or indorsement thereof or as to the disposition of the proceeds thereof, even if drawn, indorsed or payable to cash, bearer or to the individual order of any signing officer, agent or signatory, or tendered in payment of his individual obligation.

4. Indorsements on behalf of this corporation upon any and all commercial paper of any kind deposited by or on behalf of this corporation with the said Bank for credit or for collection or otherwise, may be made, affixed or imprinted (manually or by stamp impression) by any one of the foregoing officers or signatories or by any other person authorized or purporting to be authorized so to do, and any case the indorsement may bear the name of this corporation alone without specifying the person who made, affixed or imprinted the same or his authority so to do.

5. Any one of the foregoing officers of this corporation is hereby authorized to borrow money and to obtain credit for this corporation from said Bank on such terms as may seem to him advisable, and to deliver notes, drafts, acceptances, agreements and any other obligations of this corporation therefor in form satisfactory to said Bank, signed as designated in paragraph 1 above, and as security therefor to assign, transfer, hypothecate, mortgage, pledge, trustee, withdraw, exchange and substitute any stocks, bonds, securities, bills and accounts receivable, bills of lading, warehouse receipts or any other property of this corporation, with full authority to indorse or guarantee the same in the name of this corporation, to execute and deliver all instruments of assignment, transfer, hypothecation, mortgage, pledge and trust, and to affix the corporate seal. Any one of the officers or any one of the aforementioned signatories of this corporation acting alone is hereby authorized to discount any bills receivable or paper of any kind (negotiable or otherwise) with full authority to indorse the same in the name of this corporation.

6. All the foregoing authorities shall and continue in full force and effect until revoked or modified by written notice actually received by said Bank setting forth a resolution to that effect stated to have been adopted by the Board of Directors of this corporation, and signed by one purporting to be the secretary or an assistant secretary of this corporation and bearing the purported seal of this corporation; and said Bank is hereby authorized at all times to rely upon the last notice, certificate or communication received by it, when so authenticated, as to any resolution of this corporation, or as to the persons who from time to time may be officers or signatories of this corporation, or as to their respective signatures and/or as to any other corporate matters, and Bank shall be harmless in such reliance.

7. That the secretary (or any assistant secretary) of this corporation is hereby authorized to certify and deliver to said Bank copies of these resolutions, and that the signatures of the president (or any vice-president) and the secretary (or any assistant secretary) of this corporation at the foot of the certificate containing these resolutions shall constitute such certificate and resolutions an agreement by this corporation with said Bank with respect to all matters set forth in said certificate and resolutions.

I FURTHER CERTIFY that the persons herein designated as officers of this corporation have been duly elected to and now hold the offices in this corporation set opposite their respective names, and that the following are the authentic, official signatures of the said respective officers and of the named signatories who are not corporate officers, to wit:

Stewart Wallen

Name (Print or Type)

(Signature)

President

Ray Pierson

Name (Print or Type)

(Signature)

Vice-President

Name (Print or Type)

(Signature)

Secretary

Name (Print or Type)

(Signature)

Treasurer

IN WITNESS WHEREOF, I have hereunto subscribed my name and affixed the seal of this corporation by order of the Board of Directors this 14th day of May, 1964

AFFIX SEAL BELOW

I, the undersigned, above named, do hereby certify that the foregoing certificate is in all respects true and contains a true copy of the resolutions regularly adopted by the Board of Directors of said corporation in the manner therein stated.

Ray Pierson
Vice-President

ROOSEVELT CAPITAL CORP.

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ASSETSCash Assets

Treasury Bills, maturity value a/o 5/14/64	\$187,000	
Cash on Hand	5,269.09	
Alho Payment due 5/9/64	<u>1,066.50</u>	
<u>Total Cash Assets</u>		\$193,335.59

Portfolio

Alho Corp. - loan due 5/9/67 interest @ 6%; balance as of 5/9/64	32,400.
Sorbel Co. Inc. - loan due 5/27/68 interest @ 15%; balance as of 4/27/64	12,250.

National Automation - Debentures, (plus interest in arrears of \$900 and interest of \$900 due 5/1/64)	\$27,000
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13,500 Shares NAC at cost \$2	27,000
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Account Receivable - & Charles Shapiro participation of \$2,000 each in NAC; $\frac{1}{2}$ in debentures and $\frac{1}{2}$ in shares	<u>6,000</u>
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60,000.

104,650.00

297,985.59

Sale of Charter5,000.

302,985.59

Liabilities

Due Small Business Administration

150,000.00Net Worth\$152,985.59Cash Recap (approximate)

Total Cash Assets \$193,335.59

Sale of Charter 5,000.

Due from Tolmage, Kane & Shapiro 6,000. 204,335.59Due S.B.A. 150,000.

Net Cash Available for Distribution \$ 54,335.59

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LAW OFFICES
TOLMAGE AND HARRIS
20 NEESEY STREET
NEW YORK 2, N.Y.

I - D

May 20, 1964

Registered Mail
Return Receipt

Franklin National Bank
8 Hanover Square
New York, New York

Re: Roosevelt Capital Corp.

Dear Sir:

Pursuant to my letter to you dated May 14, 1964,
wherein I stated that there was still 1166.7 shares of stock of Roosevelt
Capital Corp. due you, I am herewith enclosing the following:

1. Certificate #14 for 500 shares of Roosevelt
Capital Corp., endorsed by [redacted]
2. Certificate #17 for 666-7/10 shares of
Roosevelt Capital Corp., endorsed by [redacted]

I do not owe you any further stock.

Would you be kind enough to acknowledge receipt of
this letter and the enclosures.

In [redacted] foregoing.
[redacted] es.

[redacted] 1964
ST:EK
Enclosures

Very truly yours,

TOLMAGE AND HARRIS

[redacted]

XERO
COPY

XERO
COPY

XERO
COPY



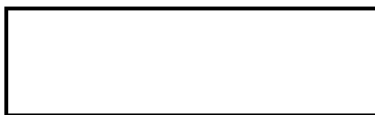
I-D

FRANKLIN NATIONAL BANK

130 PEARL STREET
NEW YORK, N. Y. 10015

HANOVER 5-1400


May 26, 1964



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Dear 

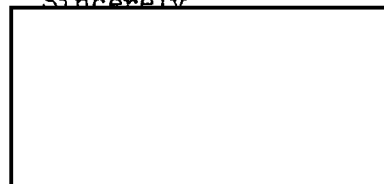
We acknowledge receipt of your letter dated May 20,
enclosing two stock certificates of Roosevelt Capital Corp.

We delivered these certificates to 
150 Broadway, New York City, against receipt as evidenced
by the attached photostat.

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b7C

With kindest regards.

Sincerely



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b7C

PJM:sg
Encl.

I-D

May 23, 1964
May 28, 1964

Mr. Ray Pierson
Hotel Shelbourne
303 Lexington Avenue
New York, New York

Re: Roosevelt Capital Corp.
Our file #5563

Dear Mr. Pierson:

I wish to confirm my conversation with you of yesterday's date, wherein you said I will receive all the necessary information requested of you for the purpose of changing the officers and directors and location of Roosevelt Capital Corp. I want to remind you that there have to be five directors. I cannot do anything in this connection unless I have this information.

Please be kind enough to see that I receive the information by Monday, June 1st, as you promised.

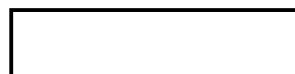
I expect to leave for Europe in a few weeks and I would like to have this matter completed before I go.

Very truly yours,

TOLMAGE AND HARRIS

ST:K

cc:



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Subject: ROOSEVELT Capital Corp
License No. 02-C108

I-D

Aug. 25, 1964 Lv. Home 7:00 AM
Arr. N. Y. 1:00 PM

Conference with Ray Connolly, I.D. Chief, and Jim Patton, Resident examiner in re: Roosevelt Capital Corp. and License application of Mr. Fraydun Monocherian of 770 Lexington Ave., N. Y., N. Y. The latter at the request of Asst. Deputy Administrator Leisy.

2:00 PM. In company with Mr. Connolly, visited office of Ray E. Pierson who recently purchased Roosevelt Capital Corp. from Mr. Charles Shapiro. Was advised by receptionist that Mr. Pierson was not in but that he was expected shortly.

2:30 PM. Visited law office of [redacted] who had been indicated as Counsel for Roosevelt Capital Corp. by Mr. Pierson at a previous visit by Mr. Connolly. [redacted] received us cordially; indicated an awareness of Roosevelt Capital Corp.'s status vis-a-vis SBA but indicated further that he had not prepared any of the required papers, amendments and documents for submission to SBA and would not do so until he had come to an understanding with Mr. Pierson regarding his compensation. To this end, [redacted] initiated a call to Pierson in order to clarify his status in our presence. After an hour's wait, this call was consummated. [redacted] Pierson and Mr. Crosby (Peter) reached an accord to meet in [redacted] office the following morning at 10:00 to commence preparation of the pertinent forms for SBA.

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[redacted] suggested that he would call me at the Regional Office during the course of the meeting if my presence would appear to be helpful to all parties concerned. [redacted] further volunteered that Pierson had mentioned in the phone conversation that a response to a Regional Office inquiry dated 8/21/64 had been mailed by Pierson indicating that [redacted] was the legal counsel for the corporation and that all matters would be appropriately handled by [redacted] henceforth.

During our informal discussion, [redacted] dwelt upon Wick Investment Corporation's relationship to Roosevelt Capital Corp. Apparently, Wick is the new ^{majority} ~~majority~~ and controlling stockholder of the Licensee. However, according to [redacted] Wick, itself, is in a highly precarious financial position. Thus, [redacted] reluctance to undertake any legal activity on behalf of the principals of the newly acquired Licensee until he has assurances of compensation for his efforts.

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Returned to office at 4 PM.

Based on initial reaction I would be extremely loathe to recommend approval for transfer of this SBIC to the apparent new principals. Pierson's repeated avoidance of SBA representatives, Wick's questionable financial status and the rumors of bounced notes in I.D. memo do not augur well for an easy future with this Licensee. Such activities and the presence of Peter Crosby at Pierson's side indicate a strong potential for the type of sharp shooting activity which the SBA is trying to avoid in its Licensees.

C. A. Leisy

James T. Phelan, Director
Office of Compliance
Thru: Robert C. Downes, Chief
Examinations Division

August 27, 1964

C. A. Levine, Examiner *[Signature]*

Roosevelt Capital Corp.
License No. 02-0108

After several days finally made contact with Mr. Ray E. Pierson at his office at 40 Wall Street.

In the ensuing discussion, Pierson made no effort to identify himself as an officer and director of subject Licensee other than to say that such officers and directors had not yet been duly elected by the stockholders. He did say, however, that Wick Investing Co. of Delaware was the sole stockholder of the Licensee at this time but that when the purchase was originally transacted Wick had not been so identified. Pierson did not deny that he was the President and Chairman of the Board of Wick Investing Co. of Delaware.

Generally, his story agreed with that of [redacted] counsel for the seller of Roosevelt Capital Corp. regarding the transaction but he referred me to his own counsel, [redacted] for the answers to the specifics involved. When I questioned him with respect to his knowledge of the Regulations and the intent of the Act, he professed himself to be quite familiar with them. When I questioned him regarding his operation as an SBIC without prior approval from SBA he said "No defense". Further questioning ascertained that the Licensee has already negotiated 6-8 financings since 5/14/64 but Pierson was unable to provide me with the details thereto other than to refer me to his auditor [redacted] who is currently preparing an audit report from the books. To this end, Pierson provided me with a letter authorizing [redacted] to make the books available to me (Copy attached hereto). [redacted] is not Roosevelt Capital's regular accountant. A [redacted] is but is now on vacation abroad.

Mr. Pierson's background appears to be in the field of Film Distribution. He is a partner along with the previously mentioned Peter Crosby in a distributing company called United Film World. Pierson stated that he has been Mickey Rooney's agent for many years and is now also representing George Jessel.

SBA
AUG 28 2 17 PM '64
INVESTMENT DIVISION
RECEIVED

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During our discussion, Pierson stated that a [redacted] was going to be the [redacted] of Roosevelt Capital Corp. representing the Class A stockholders of Wick Investing Corp. of Delaware. He, Pierson, expected to be the President and Chairman of the Board of Roosevelt representing thereby the Class B stockholders of Wick. He refused to indicate who the remaining officers and directors would be - - pleading ignorance at this time.

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Later in the day, accompanied by Jim Patton, I went to the office of [redacted] to look at the books and records. Unfortunately, the books and records were not in [redacted] possession. As the story unfolds, [redacted] was retained by Mr. Pierson on Monday, August 24, 1964 but no books and records were made available to [redacted]. The latter contacted both the old and the new counsel for the appropriate records but as of this writing nothing has been made available to the auditor other than several pieces of correspondence. During our discussion it was indicated that [redacted] firm has been doing work for several other companies in which Mr. Pierson has interests.

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This continued pattern of shunting responsibility and "who struck John" reinforces my original impression that these new proponents of Roosevelt Capital Corp. should not be approved for participation in the SBIC program.

Attachment

CAL:IS

UNITED STATES GOVERNMENT

Memorandum

James T. Phelan, Director
Office of Compliance
TO : SBA, Washington
Thru: Robert C. Downes

DATE: August 31, 1964

FROM : C. A. Levine, Examiner *CPH*

SUBJECT: Roosevelt Capital Corp.
License No. 02-0108

At 9:00 AM visited the office of [redacted] to interrogate this former legal counsel of Licensee in order to obtain additional background information regarding sale of the assets and License on May 14, 1964. [redacted] was most helpful and made his entire file available for my inspection. From my perusal of the contents of this file I selected certain documents which [redacted] kindly duplicated at my request (copies attached hereto).

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One of the documents was a Debit Advice from First National City Bank (N.Y.) dated May 28, 1964 addressed to Roosevelt Capital Corp. which states "we debit your account as follows: Cashier's Check NF 14018 payable to [redacted] Rhoades & Co. in payment of 1,000 shares of Texas Gulf Sulphur in accordance with instructions received from Mr. Ray Pierson, Vice President. Amount \$58,648.20."

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Other documents deal with the actual sales agreement between the buying and selling parties and correspondence from [redacted] to the buyers requesting them to supply the names of the new officers and directors of the Licensee so that he could prepare the necessary papers to SBA in Washington for approval of this transaction. To this date, this request has not been complied with.

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Despite this non approval, however, new management of the Licensee has made a series of loans and/or investments which include the following:

Texas Gulf Sulphur (referred to above)	\$58,648.20
Mercury Mining & Milling Corp.	30,000.00
Trans-Steel Industries, Inc.	22,000.00
Trans World Theatricals	60,000.00
United Film World	60,000.00
United Silver Mining Corp.	60,000.00
U. S. & Foreign Minerals Corp.	60,000.00
World Mercury Mining Corp.	30,000.00
	<hr/>
	\$378,648.22

Obviously, considerable trading in and out of the above situations must have occurred since Licensee only has available approximately \$150,000 with which to operate. And all of this apparently is funds disbursed by SBA under Section 302. New management does not have one cent of its own matching capital in this situation.

It is noteworthy also that on August 27, 1964 Mr. Ray Pierson indicated that he and Mr. Peter Crosby were partners in United Film World, one of the above listed small business concerns. When this apparent self dealing was pointed out to [] the auditor, I was informed by [] that Pierson had no intention of being an officer or director of Licensee - - contrary to all of Pierson's actions heretofore and to Pierson's statement to me that he would be elected President and Chairman of the Board of Directors.

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[] was unable to provide me with the books and records of the Licensee's activities since May 14, 1964 because they were not made available to him. The checkbook could not be found and only three loan documents were available: Trans-Steel Industries, Inc., Trans-World Theatricals, Inc. and United Film World. Again it is interesting to note that the financing to the latter two companies was made available within 24 hours after date of acquisition of Licensee's assets by the new management. In the above listed portfolio, it was indicated to and by [] that the loans to United Silver Mining Corporation and World Mercury Mining Corporation had been repaid. However, the records are inadequate to prove this.

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Upon my return to the office this evening, Ray Connolly informed me that he had made an appointment for me to meet tomorrow morning with [] (Knapp & Berson, Attorneys) and [] of The Hamilton Capital Funds, Inc. [] appears to be highly upset over the activities of Messrs. Pierson and Crosby in Roosevelt Capital and their relation to Wick Investing Corp. of Delaware, sole stockholder of Roosevelt Capital. [] is representing a group of Wick stockholders and has taken injunctive action against Wick on behalf of his clients to restrain Crosby, Pierson and others from issuing stock and taking other corporate action. [] will probably contribute additional information tomorrow.

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Attachment

SEP 2 11 15 AM '64
RECEIVED
INVESTMENT DIVISION
FEDERAL RESERVE

James Thomas Patten, Director
Office of Compliance

C. A. Landon, Examiner
Investigative Division

Roosevelt Capital Corporation
License No. 02-0103

September 9, 1964

Phelan

Received phone call at noon today from [redacted] attorney, representing new management of subject-licenses. Called for Bob Evans to participate in this phone conversation.

[redacted] indicated that he had completed his review of this account and that it was replete with complexities--were so because of his unfamiliarity with Small Business Investment Corporation. He had just come from a meeting with [redacted] attorney, who was pressing an injunction action against Wick Investing Company of Delaware and its management on behalf of minority stockholders. Said Wick is the now 100 percent stockholder of Roosevelt Capital Corporation. In view of the complexities involved [redacted] wondered out loud whether he would be wise in accepting License as a client.

[redacted] stated that he had spoken to [redacted] CPA auditor, who recommended that new management of Roosevelt Capital return to SEA \$300,000 (302 funds) plus interest and become private corporation. This action would involve dissolution as an SEIC but would be recommended in view of the violations committed by the new management and the unlikelihood of their being approved by SEA.

When I asked whether [redacted] proposed this as a solution or was merely raising a hypothetical question, he stated his belief that Pierson and his group would consider repaying SEA its money but that it would require about 10 days to raise this sum. I indicated that such a procedure would go a long way towards removing the sting in this situation, however, I was not empowered to say anything more. [redacted] closed the conversation by saying that he would discuss these matters again with his client(s) and would be in touch with me soon--in a spirit of full cooperation.

ASIDE: All along, this examiner has had the impression that [redacted] was more intimately involved in this situation than he has pretended. He is a consummate actor and a very successful attorney. At no time, however, has he hidden behind the facade of "legal privilege". There is also the possibility that [redacted] is seeking an easy way out for one or more of his clients who are "one time losers" already and who may be confronted with criminal proceedings in this situation.

September 15, 1964

File

C. A. Levine Examiner
Examinations Division

Roosevelt Capital Corporation
License No. 02-0103

Received phone call from [redacted] erstwhile counsel for subject Licensee's current management. After several days deliberation, [redacted] indicated that he does not think that he has the background and experience required to handle situations such as Wick Investing Company of Delaware and/or Roosevelt Capital Corporation. Consequently, he has come to the decision that he will not represent Licensee as counsel.

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This examiner (Levine) inquired at this point whether [redacted] had discussed with the new management their intention of repaying the \$150,000 advanced by SMA in 300 funds. [redacted] stated that he had spoken to Mr. Peter Crosby about this matter as recently as this morning but that Crosby preferred to withhold a decision pending further discussion with Ray Plonson who was out of town but due back this evening. [redacted] indicated that he would meet with both Crosby and Plonson tomorrow morning in order to ascertain their intentions following which he would call this Office (Examiner Levine) to apprise us of their decision. At no time was any promise made to [redacted] by this examiner that any type of legal action, civil or criminal, would be withheld if SMA's money was returned.

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SEB:CAL:levine:mjf
9/15/64

cc: Mr. Levine
Mr. Donnes

~~Phelan~~

Mr. Kurland

9/16/64

UNITED STATES GOVERNMENT

Memorandum

TO : File

DATE: September 18, 1964

FROM : C. A. Levine, Examiner
Examinations Division

SUBJECT: Roosevelt Capital Corporation
License No. 02-0108

Received telephone call from Ray Connolly, ID Chief, New York Regional Office with regard to action taken at the hearing in Federal Court, September 17, 1964, on complaint filed by Attorney [redacted] vs Wick Investing Corporation of Delaware, Ray E. Pierson, Peter F. Crosby, et al. Mr. Connolly relayed to me the following information which he had obtained earlier from [redacted]

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[redacted] not be
used to disclose the source of this latter information.



Buy U.S. Savings Bonds Regularly on the Payroll Savings Plan

Attached obtained from records
of [REDACTED]
[REDACTED]

I-D

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by examiner C. A. Levine (SBA)
on 8/31/64.

PROMISSORY NOTE

\$60,000.00

May 14, 1964

SIX (6) YEARS, after date, FOR VALUE RECEIVED, the
Undersigned, UNITED FILM WORLD, promises to pay to the order of
ROOSEVELT CAPITAL CORP., the sum of SIXTY THOUSAND DOLLARS,
with interest at seven (7%) percent, payable semi-annually.

It is understood and agreed that in the event of the
non-payment of any one of said interest installments and such
default continue for a period of fifteen (15) days, after written
notice thereof, then at the option of the holder of this note,
this note shall forthwith become due and payable. The failure
to assert this right shall not be deemed a waiver thereof.

UNITED FILM WORLD

By


Joseph L. [unclear]

Due May 14, 1970.

ROOSEVELT CAPITAL CORP.

6000 11th Street, N.W., Washington, D.C. 20037

New York, New York 10017

Page Two

SCHEDULE OF INTEREST PAYMENTS AND LOANS RECEIVABLE

<u>Date Due:</u>	<u>Amount:</u>	<u>From:</u>
8/28/64	\$ 110	Trans-Steel Industries, Inc.
11/14/64	2,100	United Film World
11/15/64	3,000	Trans-World Theatricals, Inc.
11/28/64	110	Trans-Steel Industries, Inc.
12/ /64	1,500	Mercury Mining & Milling Corporation
12/4/64	3,000	United Silver Mining Corporation
12/4/64	3,000	United States & Foreign Minerals Corp.
12/4/64	1,500	World Mercury Mining Corporation
2/28/65	110	Trans-Steel Industries, Inc.
5/14/65	2,100	United Film World
5/15/65	3,000	Trans-World Theatricals, Inc.
5/28/65	110	Trans-Steel Industries, Inc.
6/ /65	1,500	Mercury Mining & Milling Corporation
6/4/65	3,000	United Silver & Mining Corporation
6/4/65	3,000	United States & Foreign Minerals Corp.
6/4/65	1,500	World Mercury Mining Corporation
Total	<u>\$28,640.00</u>	

THIS CHECK IS IN PAYMENT OF THE FOLLOWING
DESCRIPTION AMOUNT
Franklin National Bank

TOTAL
DISCOUNT
NET

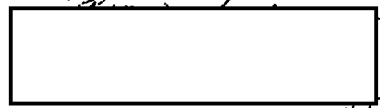
United Film World
Franklin National Bank

May 14 1964
No. *1025*
50-1126 23
500,000.00
DOLLARS
Ray P.

02001 032 011
"0006000000"

FRANKLIN NATIONAL BANK
FRANKLIN, N.Y.

May 15 1964
No. *1025*
50-1126 23
500,000.00
DOLLARS
Ray P.



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b7C

BY ENDORSEMENT THIS CHECK IS ACCEPTED IN FULL PAYMENT OF THE FOLLOWING ACCOUNT
DATE
TELLER
JUN 25 1964
LESS
LESS
TOTAL DEDUCTIONS
AMOUNT OF CHECK
IF INCORRECT PLEASE RETURN NO RECEIPT NECESSARY

PAY TO THE ORDER OF

June 25 1964
No. *1*
1-8 210
500,000.00
DOLLARS
Ray P.

FIRST NATIONAL CITY BANK
FIFTY-FIVE WALL STREET
NEW YORK, N.Y.



Roosevelt Capital Corp.

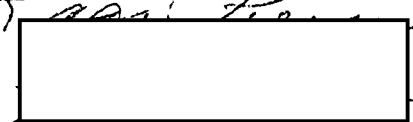
09294551
"0000050000"

BY ENDORSEMENT THIS CHECK IS ACCEPTED IN FULL PAYMENT OF THE FOLLOWING ACCOUNT
DATE
TELLER
JUN 25 1964
LESS
LESS
TOTAL DEDUCTIONS
AMOUNT OF CHECK
IF INCORRECT PLEASE RETURN NO RECEIPT NECESSARY

PAY TO THE ORDER OF

June 25 1964
No. *1*
1-8 210
Industries, Inc. \$350.00
and fifty and 100 DOLLARS
Ray P.

FIRST NATIONAL CITY BANK
FIFTY-FIVE WALL STREET
NEW YORK, N.Y.



Roosevelt Capital Corp.

09294551
"0000035000"

ROOSEVELT CAPITAL CORP.

Page One

LIST OF INVESTMENTS

<u>Loan To:</u>	<u>Amount:</u>	<u>Interest</u>	<u>Payable:</u>	<u>Due: -</u>	<u>Other:</u>
Mercury Mining & Milling Corporation	\$30,000	10%	semi-annually	6/ /1970	6 years, (\$3,000/yr.in \$1,500/pymt)
Trans-Steel Industries, Inc.	22,000 4,400*	10%	quarterly	5/28/69	5 years, \$440/yr. int, \$110/qtr.
Trans-World Theatricals, Inc.	60,000	10%	semi-annually	5/15/70	6 years, \$6,000/yr, int. \$3,000/pymt.
United Film World	60,000	7%	semi-annually	5/14/70	6 years, \$4,200/yr., \$2,100/pymt.,
United Silver Mining Corporation	60,000	10%	semi-annually	6/4/69	5 years, \$6,000/yr., \$3,000/pymt.
United States & Foreign Minerals Corp.	60,000	10%	semi-annually	6/4/69	5 years, \$6,000/yr., \$3,000/pymt.
World Mercury Mining Corporation	<u>30,000</u>	10%	semi-annually	6/ /1970	6 years, \$3,000/yr., \$1,500/pymt.
Total	<u>\$ 322,000</u>				

FRANKLIN NATIONAL BANK



ROOSEVELT CAPITAL CORP.
150 BROADWAY
NEW YORK, N. Y.

02-01-032-0

CHECKS	CHECKS	DEPOSITS	NO. OF CHECKS	DATE	BALANCE
		BALANCE FORWARD		MAY 15 64	.00 S
		*160,000.00		MAY 15 64	* 160,000.00 *
* 60,000.00	UFW		1	MAY 15 64	* 100,000.00 *
* 60,000.00	TW		2	MAY 18 64	* 40,000.00 *
* 67,000.00	*160,000.00	*187,000.00	2	MAY 19 64	* 227,000.00 *
N.C.B.			4	MAY 26 64	* .00 *

KEY

S. C.—SERVICE CHARGE
C. M.—CREDIT MEMO
E. C.—ERROR CORRECTION
R. T.—RETURNED ITEM
C. C.—CERTIFIED CHECK
D. M.—DEBIT MEMO
L.S.—LIST

ALL CHECKS MUST BE DEPOSITED
WITHIN TEN DAYS OF THE DATE
OF ISSUANCE TO REMAIN VALID.

IF A CHECK IS REPORTED WITHIN TEN DAYS THE
BANK WILL CREDIT ALL ITEMS ARE CREDITED SUBJECT
TO THE BANK OF ANY CHANGE OF ADDRESS.

FIRST NATIONAL CITY BANK NEW YORK

ACCOUNT NUMBER
ROOSEVELT CAPITAL CORPORATION
800 OLD COUNTRY ROAD
GARDEN CITY NEW YORK

ACCOUNT NUMBER
09294551
2133

PLEASE
NOTIFY
US OF
ANY CHANGE
IN YOUR
ADDRESS



DEBITS	CREDITS	DATE	BALANCE
500.00		7 01 64	1,576.85
300.00		7 01	1,076.85
		7 13	776.85

NO. OF DEBITS 2

NO. OF CREDITS

PLEASE INFORM US IMMEDIATELY OF ANY EXCEPTIONS TAKEN BY YOU, GIVING FULL DETAILS AND YOUR ACCOUNT NUMBER.

A-CHARGE MEMO
B-CREDIT MEMO
(REFER TO ADVICES)
C-CERTIFIED CHECK
(ENCLOSED OR OUTSTANDING)

KEY TO SYMBOLS
D-AUTHORIZED DEBIT
E-AUTHORIZED CREDIT
F-LOST
M-WITHDRAWAL

DATE RENDERED 7 31 64 14

LAST AMOUNT ABOVE IS YOUR FINAL
BALANCE ON DATE RENDERED.

N-INDIRECT DRAWING
R-RETURNED ITEM
S-SERVICE AND OR MAINTENANCE CHARGE
E.O.M. BAL- END OF MONTH BALANCE

~~For Deposit Only~~
For Deposit Only
United Film Works

DEBITED TO THE ACCOUNT OF THE
WITHIN NAMED PAYEE
Absence of Endorsement Guaranteed
FRANKLIN NATIONAL BANK
HANOVER SQUARE OFFICE
130 PEARL ST. N.Y.C.

FOR DEPOSIT ONLY

TO THE ACCOUNT OF:

PRECON Structures Div.

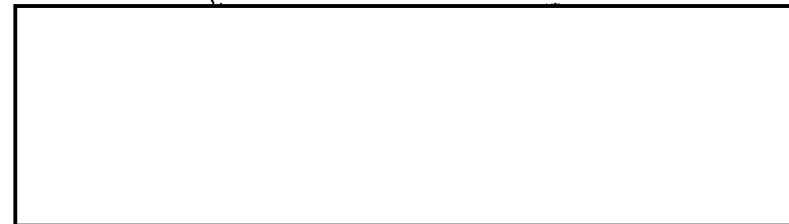
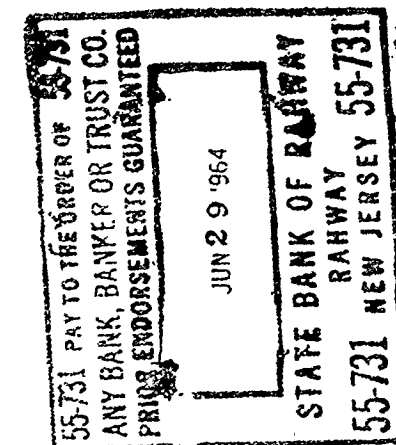
TRANS-STEEL INDUSTRIES, INC.

ACCT # 15-0042-0

PAY ANY BANK P.E.G.
IRVING TRUST COMPANY
NEW YORK, NEW YORK

19-1

DE 2376 JUL 01 64 66
80 JUN 30 64 161409



*Order
with cash*

I-E

ROOSEVELT CAPITAL CORP.

A FEDERAL LICENSEE UNDER THE SMALL BUSINESS INVESTMENT ACT OF 1958

600 Old Country Road • Garden City, L. I., New York • Phone 1-37-37

August 27, 1964

[Redacted]

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Attention: [Redacted]

RE: RooseveltCapital Corp.

Dear [Redacted]

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Any and all information concerning our books which you have available on the above-captioned, I would appreciate your giving same to [Redacted] for his information

Thanking you, I am

ROOSEVELT CAPITAL CORP.


RAY E. PIERSON

REP:cs

I-F

DISCO 0073 REV. 3-61

FIRST NATIONAL CITY BANK
35 WALL STREET NEW YORK 10, N. Y.

DEBIT ADVICE

WE DEBIT YOUR ACCOUNT AS FOLLOWS

DATE May 28, 1964

Cashiers Check NT14018 payable to Rhoades & Co. in payment of 1000 Shares of Texas Gulf Sulphur in accordance with instructions received from Mr. Ray Pierson, Vice President.

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b7C

ACCOUNT NUMBER
0929-4551

Roosevelt Capital Corp.
600 Old Country Road
Garden City, New York

AMOUNT \$58,648.20

Note Tellers Dept.

By 32

28

EX-117

91.307
1964

SUPREME COURT OF THE STATE OF NEW YORK
COUNTY OF NEW YORK

II

b6
b7C

AFFIDAVIT

Index No. **11764/64**

Chronology

[redacted] on behalf of themselves and all other
stockholders of the defendant WICK INVESTING
CORP. OF DELAWARE, similarly situated,

Plaintiffs,

-against-

PETER CROSBY, a/k/a PETER F. CROSBY, a/k/a
FRANCIS CROSBY, [redacted]

[redacted] RAY E. PIERSON, UNITED
NATIONS FINANCIAL CORP., CONSTRUCTION INDUSTRIES,
INC., [redacted]

[redacted] and WICK INVESTING CORP. OF DELAWARE,

Defendants.

-----X
STATE OF NEW YORK)
COUNTY OF NEW YORK) ss.:

[redacted] being duly sworn, deposes and says:

I am associated with Krapp & Berson, the attorneys for
the plaintiffs in the above entitled action. I am fully familiar
with the facts and circumstances surrounding the action, having
been engaged in all prior proceedings herein and the investigation

Aug - 4 - Order to
show cause
& restraining
provision (a)
Aug 6 - Adjourned to
Aug 17 with
restraining provision
Aug 17 - Supra -
2 weeks to Aug 31
provision (d) added.
Aug 31 - Stipulation
adjourning to Sept 10
Sept 10 - Wallemade
informed [redacted]
restraining - adj
to Sept 17 with
(a) & (d) contd
Sept 17 - Slip request
by [redacted] adj. to
Oct 1

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leading up to the institution of suit. I submit this affidavit in further support of the pending application of the plaintiffs for a preliminary injunction upon the basis of further facts discovered subsequent to August 4, 1964, the date on which the order to show cause and temporary restraining order was originally signed by Mr. Justice Cuhlin.⁽¹⁾

These recently discovered facts show with even starker clarity the immensity of the frauds which Peter Crosby and his associates seek to perpetrate upon Wick and its stockholders.

On August 4, 1964, [redacted] and myself attempted to effect personal service thereof on such of the defendants we could find in the City of New York. We proceeded to the last known office of Wick at 10 East 44th Street. Upon arriving there the door to the office was locked and no one answered. We made inquiry of the superintendent of the building who informed us that "everybody" had moved to 40 Wall Street. We then proceeded to 40 Wall Street. There was no listing for Wick on the building directory, nor had any of the building employees heard of Wick. There was, however, a listing for "Ray E. Pierce" in Room 3601. We entered Room 3601 and waited to the [redacted] as there was nobody in the [redacted] room. A man who I later ascertained from photographs shown to me by officials of the [redacted] later Department of Probation as Emmanuel Lester, asked us what we wanted.

(1) On August 17, 1964 the order to show cause was enlarged and extended by Mr. Justice Lupiano until September 10, 1964. It was further extended in its enlarged form by [redacted] until September 17, 1964, when it was further extended until October 1, 1964. The restraining provisions presently in effect are set forth as Appendix I hereto.

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We told him that we wanted to see Mr. Pierson. He informed us that Mr. Pierson was not there but was at a directors meeting at his lawyer's office. Upon inquiring whether he meant []

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[] answered in the affirmative. As we left the 40 Wall Street office I observed that the name "Roosevelt Capital Corporation" was printed in gold letters on the outside door.

The significance of Roosevelt Capital Corporation, a federally licensed small business investment company, as the single most important factor in the consummation of the frauds described in the moving papers was shortly to be made apparent.

[] and myself thereupon proceeded to the offices of Fisher, Okin, Gieberman & Erline at 30 Broad Street. Upon gaining admittance, we were introduced to Mr. Pierson who stated that he was in the middle of holding a "board meeting" of Wick, and that defendants Crosby and [] and an individual named [] were present at the meeting. I asked Mr. Pierson whether Crosby and [] were available for the purpose of service of the order to show cause. At first Mr. Pierson informed me that they were available, and then left the room briefly. Upon his return he stated that Crosby and [] "had left". I thereupon effected personal service of the order to show cause and supporting papers on Mr. Pierson individually and as an officer of Wick and United Nations Financial Corp.

Between August 4th and the present date, our office has attempted to investigate every facet of the extraordinary series of transactions leading up to the purported acquisition of control of Wick by Crosby, Pierson and their associates. In this connection, I have conferred with officials of various governmental agencies

which are concerned with the matter. On August 28th we obtained pursuant to subpoena from Laidlaw & Company of 25 Broad Street, New York, N. Y. the documents under which Crosby and Pierson, using defendant United Nations Financial Corp. as a conduit, purportedly purchased 90,000 shares of Wick Class B Stock constituting a majority of the B Stock and control of the corporation, from

[redacted] Said documents are dated June 4, 1964 and will be made available to the Court upon the argument of this motion.

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The documents subpoenaed from Laidlaw & Company describe a transaction whereby [redacted] purportedly sold 90,000 shares, representing a majority of the outstanding Class B shares of Wick to United Nations Financial Corp. on the following terms and conditions:

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\$50,000 cash, with the balance payable as follows:
\$75,000 by June 30, 1964 and \$210,000 by the delivery of 13 serial notes of United Nations Financial, payable quarterly between September 10, 1964 and September 30, 1967.

A supplement to said purchase agreement of June 4, 1964 reveals that the \$50,000 cash down payment purportedly to be paid by United Nations Financial Corp. to [redacted] was to be effected by delivery of 1,000 shares of Texas Gulf Sulphur Company capital stock registered in the street name of [redacted] [redacted] Rhodes & Co. which stock was to be sold and the proceeds paid to [redacted]

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On August 28, 1964 I took the deposition of [redacted]

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[redacted] of Laidlaw & Company. I ascertained that

apart from said \$50,000 down payment, neither Crosby nor Pierson made any of the other payments supposedly to be made to [redacted]

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[redacted]

I also learned that none of the collateral called for in the [redacted] and United Nations Financial Corp. agreement to be delivered to Laidlaw and Company as escrowee had been so delivered. A copy of a letter dated September 23, 1964 addressed to United Nations Financial Corp. c/o Fisher, Okin, Gleiberman & Earine, 30 Broad Street, New York 4, New York, by [redacted] attorney for the Bloch interests, was received by our office on September 24, 1964. This letter indicates that this collateral, comprising the Wick Class B shares referred to above, as well as the Capital Stock of Roosevelt Capital Corp. and shares of Atlas American Oil Co., more fully described below, are presently in the hands of [redacted]

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[redacted] attorney for Wick Investing Corp. of Delaware, United Nations Financial Corp. and Ray E. Pierson. *(A copy of said letter is attached hereto marked exhibit C and made part hereof.)*

On September 1, 1964, I interviewed officials of the New York Regional Office of the ^{ASA}Small Business Administration, 42 Broadway, New York, N. Y. with a view to ascertaining how management and control of Roosevelt Capital Corporation, a federally licensed SBIC had been turned over to Crosby and Pierson or concerns controlled by them.

This area of investigation turned up the following startling revelations:

¶ 1,550 shares, comprising 100% of the capital stock of Roosevelt Capital Corp. had been transferred from the original organizers of the SBIC to "Contractors Guild Corporation", a corporate dummy of Crosby and Pierson;

¶ In violation of applicable SBA regulations, the purported change in the management and control of Roosevelt Capital Corp. was not submitted for prior SBA approval;

¶ In addition to approximately \$150,000 of private capital invested by the original organizers of Roosevelt Capital, the SBIC had received, pursuant to the provisions of the Small Business Investment Act and SBA regulations, \$150,000 of government funds evidenced by a long-term subordinated debenture issued by the SBIC to SBA;

¶ The acquisition of Roosevelt Capital was effected by Crosby and Pierson by a fraudulent transfer to the selling group of approximately \$112,000 of portfolio securities held by the SBIC and approximately \$35,000 in cash. The end result was the assumption of management and control of the SBIC by Crosby and Pierson with the SBIC's own funds and the seizure of approximately \$175,000 of government funds without any cash investment on the part of Crosby, Pierson and their associates;

¶ Within 48 hours of the assumption of control of the SBIC, in flagrant disregard of SBA self-dealing regulations, Crosby and Pierson caused it to make a series of loans, including a \$60,000 loan to "United Film World, Inc." a concern of which Pierson is president;

¶ On May 20, 1964, Crosby and Pierson caused Roosevelt Capital to make an illegal purchase from funds of Roosevelt on deposit with First National City Bank, 55 Wall Street, New York, of 1,000 shares of Texas Gulf Sulphur Company stock on the New York Stock Exchange through [redacted] Rhodes & Co. for \$58,000. (A copy of the bank's debit advice is attached hereto marked Exhibit A and made part hereof.);

¶ On June 4, 1964, the 1,000 shares of Texas Gulf Sulphur purchased illegally with government funds and registered in the street name of [redacted] Rhodes & Co., were caused to be delivered by Crosby and Pierson to Investors Overseas Bank Limited, a "bank" purportedly

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located at P. O. Box 1128, Nassau, Bahamas, for sale by it of the stock and payment of the proceeds to [REDACTED] British banking officials whom I interviewed could find no registry or other information concerning "Investors Overseas Bank, Limited";

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I As appears from a portion of the so-called "Confidential Report" disseminated in June 1964 by the Crosby-Pierson management team shortly after they purportedly acquired the Wick Class B Stock (a copy of which is annexed hereto marked Exhibit B and made part hereof), Roosevelt Capital Corp. is listed as one of the companies "acquired" by Wick and is represented to have "Investments" of \$302,000;

I The contract between United Nations Financial Corp. and the Bloch interests also indicates that a portion of the collateral for the balance of the purchase price consisted of 25,000 shares of stock of "Atlas American Oil Co." registered in the name of "O.R. Seagraves".

[REDACTED] and O.R. Seagraves were convicted together by a Federal Court in Pittsburgh on March 8, 1958 of the crime of conspiring to transport stolen documents in interstate commerce. Since "Atlas American Oil Co." and Roosevelt Capital are represented to be "assets" of Wick, it appears that Wick assets have been illegally hypothecated as security for purported obligations of United Nations Financial Corp. in acquiring control of Wick.

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The foregoing additional facts unearthed since August 4, 1964 further reveal that in addition to their frauds upon Wick and its stockholders, ~~that~~ the defendants and their associates have also engaged in a barefaced scheme to defraud the United

States Government. I am also satisfied that the defendants Pierson, United Nations Financial Corporation, [redacted] and [redacted] are dummies or nominees of Peter Crosby who is the mastermind of the entire plot.

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The time of the defendants Ray E. Pierson, United Nations Financial Corporation and Wick Investing Corp. of Delaware, Inc. to answer or move with respect to the complaint expired on August 24, 1964 and has not been extended by stipulation or otherwise. After much difficulty, the Sheriff of Norwalk, Connecticut was able to effect personal service of the complaint on defendant [redacted] in Westport, Connecticut on September 5, 1964. By agreement between plaintiffs herein and defendant [redacted] defendant [redacted] time to answer the complaint has been extended to October 9, 1964.

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It is apparent at this juncture that the fate of Wick and hundreds of innocent investors rests solely in the hands of this Court. While our office has done everything humanly possible to apprise the appropriate governmental authorities of the facts and has received a high degree of cooperation from government officials, as the Court knows, delay is inevitable before government action can be taken against the persons responsible.

It is therefore respectfully prayed that the Court grant the following relief in favor of the plaintiffs:

(a) Setting the matter down for inquest and granting a final judgment against the served defendants who have

defaulted in answering the complaint for relief demanded in the complaint and such other and further relief as the Court shall deem appropriate or necessary, and in addition thereto, or alternatively

(b) Granting the plaintiffs additional relief pendente lite pending the further order of this Court as specified in a proposed order to be submitted simultaneously herewith.



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Sworn to before me this

28th day of September, 1964

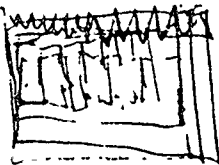
ROBERT E. KIRBY
Notary Public, State of New York
No. 31-2152729
Qualified in New York County
Commission Expires March 30, 1968

APPENDIX I

ORDERED, sufficient cause appearing therefor, that pending the hearing of this motion, the defendants and each of them, their agents, servants and employees are hereby restrained

from issuing or causing to be issued to the defendants or to any other person, firm or corporation any of the authorized and unissued shares of capital stock or any other securities of Wick Investing Corp. of Delaware in exchange for, or as the purchase price of, any assets, properties or corporate securities, or for any other purpose;

from selling, transferring, hypothecating or otherwise disposing of any of the assets and properties of Wick or using any of the corporate funds of Wick, except such funds as are reasonably required to meet the ordinary and necessary business expenses incurred in the ordinary course of business.



MADE BY 100-10-10

DEBIT ADVICE

DEBIT YOUR ACCOUNT AS FOLLOWS

FIRST NATIONAL CITY BANK

65 WALL STREET NEW YORK 10, N. Y.

May 20, 1964

DATE

Cashiers Check NT14018 payable to Rhodes & Co. in payment
of 1000 Shares of Texas Gulf Sulphur in accordance with instructions
received from Mr. Ray Pierson, Vice President.

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ACCOUNT NUMBER

0929-4581

Roosevelt Capital Corp.
600 Old Country Road
Garden City, New York

AMOUNT

\$50,648.20

Note Tellers Dept.

BY

RR

EXHIBIT

A



WICK INVESTING CORP. OF DELAWARE

Executive Offices: 10 EAST 44th ST., NEW YORK 17, N. Y., YUkon 6-3990

June 19, 1964

To Whom It May Concern:

This is to inform you that the Pro Forma Financial Statement and the pertinent data which it gives and reports of Wick Investing Corp. of Delaware has been arranged by

from material furnished to us by companies we are contracted with for their acquisition pending a Board of Directors meeting with the Executive Board.

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In no way is this a statement showing the worth of our corporation as of this date. Some of the enclosed companies have been acquired and some formerly contracted for, but the acquisitions in total are not complete.

Sincerely yours,

A handwritten signature in dark ink, appearing to read 'Ray E. Pierson', written over the typed name.

**KAY E. PIERSON
CHAIRMAN OF THE BOARD
SENIOR VICE-PRESIDENT**

REP:ra

EXHIBIT B

PRO FORMA FINANCIAL STATEMENT
WICK INVESTMENT CORPORATION
OF DELAWARE
June 15, 1964

ASSETS:

Cash \$ 2,833,095.99

*Real Estate 13,971,039.84

****** Investments

Du Val Associates	\$ 149,000.00	
Atlas-American Oil Co.	100,000.00	
Bradshaw Investment Co. Inc.	8,000,000.00	
Glamour Vending Corp.	54,000.00	
Roosevelt Capital Corp.	302,000.00	
Cosmopolitan Underwriters Corp.	550,000.00	
Georgia Casualty & Surety Co.	228,796.50	
(Atlantic American Life Ins. Co.)		
Inland Properties Inc.	26,717,410.81	
(Dixie Auto Insurance Co.,		
Dixie Life Ins. Co.)		
Western Fire & Indemnity Co.		
(Mid-Continent Ins. Co.)	<u>850,000.00</u>	
		36,951,207.31

Furniture, Fixtures & Equipment 463,912.36

TOTAL ASSETS: 54,219,255.50

* See foregoing information for listing of these properties. This amount includes furnishing owned by some of the apartment houses.

****** All corporations listed controlled and managed by Wick Investing Corp. of Delaware.

See attached Schedules for ownership of other corporations and properties in these corporations.

These computations were made on the book value of the stock owned.

LAW OFFICES OF
NEMEROV & SHAPIRO
32 BROADWAY
NEW YORK 4, N. Y.

MA 5-6660

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September 23, 1964

United Nations Financial Corp.
c/o Fisher, Gkin, Gleiberman & Barine
30 Broad Street
New York 4, N. Y.

Re: United Nations Financial Corp. v. Stavitsky,
et al - Agreement June 4, 1964 and supple-
mental agreements thereto

Gentlemen:

This is to advise you that on behalf of my clients,
the sellers (stockholders) in the above referred to agreements,
your continued default has resulted in all of the notes being now
due and payable.

We call your attention to our letter of September 17,
1964, and demand immediate compliance with the terms of the agree-
ment with respect to the delivery of the collateral to Laidlaw &
Co.

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MA:DW
By Hand

CC: [REDACTED]

Laidlaw & Co.

C
O
P
Y

EXHIBIT C

INDIVIDUAL VERIFICATION

STATE OF NEW YORK,
COUNTY OF

} ss.:

he is the , being duly sworn, deposes and says that
read the foregoing the in the within action; that he has
the same is true to h own knowledge, except as to the matters therein stated to be alleged on
information and belief, and that as to those matters he believes it to be true. and knows the contents thereof; that

Sworn to before me, this
day of 19 _____

CORPORATION VERIFICATION

STATE OF NEW YORK,
COUNTY OF

} ss.:

he is the of the , being duly sworn, deposes and says that
that he has read the foregoing herein
and knows the contents thereof, and that the same is true to h own knowledge, except as to the
matters herein stated to be alleged upon information and belief, and as to those matters he be-
lieves it to be true. lies it to be true.

Deponent further says that the reason this verification is made by deponent and not by the
is a is because the said
corporation, and deponent an officer thereof, to wit its

Sworn to before me, this
day of 19 _____

AFFIDAVIT OF PERSONAL SERVICE

STATE OF NEW YORK,
COUNTY OF

} ss.:

and says that he is over the age of being duly sworn, deposes-
day of 19 , at No. years; that on the
in the Borough of , City of , he served the foregoing
upon

in this action, by delivering to and leaving personally with said
a true copy thereof.
Deponent further says, that he knew the person served as aforesaid, to be
as the the person mentioned and described in said
therein.

Sworn to before me, this
day of 19 _____

AFFIDAVIT OF SERVICE BY MAIL

STATE OF NEW YORK
COUNTY OF

ss.:

being sworn deposes and says he is the attorney for the above named
herein. That on the day of 19 he served the within

upon the attorney for the above named
by depositing a true copy of the same securely enclosed in a post-paid wrapper in the Post-Office—a
Branch Post-Office—a Post Office Box regularly maintained by the United States Government at
in said County of directed to said attorney

at No. for that purpose upon the preceding papers in this
address within the state designated by h then kept an office, between which places there was and
action, or the place where h now is a regular communication by mail.

Sworn to before me, this
day of 19

Index
No. 11764

19 64

SUPREME COURT: STATE OF NEW YORK
COUNTY OF NEW YORK

et al.,

Plaintiffs,

-against-

PETER CROSBY, et al.,

Defendants.

AFFIDAVIT

KNAPP & BERSON

Attorneys for Plaintiffs

(Office and Post Office Address)

660 MADISON AVENUE

Borough of Manhattan New York 21, N. Y.

Tel. No. Templeton 8-8710

To

Esq.

Attorney for

Service of a copy of the within

is hereby admitted.

Dated, N. Y.

19

Attorney for

Sir :

PLEASE TAKE NOTICE that the
within is a true copy of a

this day duly filed and entered in the office
of the clerk of the

Dated, N. Y., 19

Yours, &c.,

KNAPP & BERSON

Attorneys for

(Office and Post Office Address)

660 MADISON AVENUE

Borough of Manhattan New York 21, N. Y.

To Esq.

Attorney for

Sir :

PLEASE TAKE NOTICE that

of which the within is a true copy, will be
presented for settlement and entry herein to
Mr. Justice

one of the Justices of the within named
Court at

Borough of

in the City of New York

19

on the day of
at o'clock in the forenoon.

Dated, N. Y., 19

Yours, &c.,

KNAPP & BERSON

Attorneys for

(Office and Post Office Address)

660 MADISON AVENUE

Borough of Manhattan New York 21, N. Y.

To Esq.

Attorney for

ROOSEVELT CAPITAL CORP.

A FEDERAL LICENSEE UNDER THE SMALL BUSINESS INVESTMENT ACT OF 1958

~~XX~~

*NEW ADDRESS: 40 Wall Street - Suite 3601 - N.Y. 5, N.Y.
HA 5-2885

September 21, 1964

Small Business Administration
811 Vermont Avenue
Washington 25, D. C.
Attention: Mr. R. E. Kelly, Deputy Administrator

Re: Roosevelt Capital Corp.

Dear Sir:

In order to preclude further contentious debate, we have determined to repay the \$150,000 of 302 funds now owing to the Small Business Administration, plus all accrued interest.

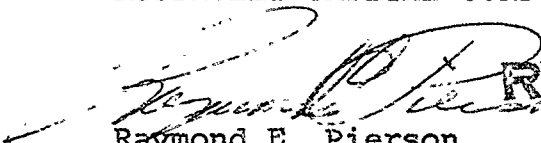
Said repayment will take place during the month of October '64, and we estimate that between the 12th to the 22nd of October we will tender a cashier's check for the aforesaid sum.

Please, therefore, advise us as to the amount of interest our Company will owe up to October 22, 1964.

Thanking you for your kind attention, we are,

Sincerely,

ROOSEVELT CAPITAL CORP.


Raymond E. Pierson
Vice President

RECEIVED
SBID

SEP 30 1964

REP: er

occ: Mr. Connolly, N. Y. Administrator
Small Business Administration - 42 Broadway, N.Y.C.

occ: 

AN
7,8,9,10,11,12,13,14,15,16
PH

III

10-14-64

SMALL BUSINESS ADMINISTRATION

X

License No. 02-0108

RAYMOND E. PHELSON
C/O ROOSEVELT CAPITAL CORPORATION
40 WALL STREET
SUITE 3601
NEW YORK, NEW YORK

RECEIVED SEPTEMBER 21, 1964. AS OF OCTOBER 14, 1964,

LICENSEE OWES \$155,125.00 PRINCIPAL AND INTEREST.

DAILY INTEREST ACCRUALS ARE \$20.83. DEPARTMENT DOES

NOT PRECLUDE ANY FURTHER ACTION BY THIS AGENCY.

ROBERT E. LINSY
ASSISTANT DEPUTY ADMINISTRATOR
FOR INVESTMENT
SMALL BUSINESS ADMINISTRATION

ESID:JTFelam:CMK

cc: ID Chief, New York R/O

Morris

Phelan

Donner

FED

PHELAN _____

Sent 10/14/64

UNITED STATES GOVERNMENT

Memorandum

IV

TO : Richard E. Kelley, Deputy Administrator
THRU : James Thomas Phelan, Director
Office of Compliance
FROM : Robert C. Downes, Chief
Examinations Division
SUBJECT: Clarence A. Levine, Examiner,
Examinations Division
Sun Capital Corporation
License No. 03-0054
Roosevelt Capital Corporation
License No. 02-0108

DATE: OCT 13 1964

[REDACTED]

[REDACTED] It will be well to recall that the aforesaid Crosby and Pierson are currently being investigated by the Department of Justice for complicity in the apparent fraudulent acquisition and dissipation of the funds of another Licensee namely, Roosevelt Capital Corporation. Because of this Examiners' prior investigation into the activities of Crosby and Pierson, he was assigned to the task of determining their involvement in the currently contemplated acquisition (Sun Capital Corporation).

Acting rapidly, and with extremely good judgment Mr. Downes contacted the Licensee's agent of record by phone [REDACTED] discussed the situation at some length and recommended that the sale of the SBIC be stalled until we have had an opportunity to ascertain the facts in this matter. [REDACTED] was most happy to go along with Mr. Downes recommendation because he had become somewhat uneasy about the activities of the prospective buyers. Mr. Downes' recommendation, acquiesced in by [REDACTED] was along the following lines. There would be no deal unless accomplished in the following stages:

- a. Drawing up a proper agreement
- b. Placing funds in escrow until transaction is completed
- c. Obtaining prior approval of the transaction from SBA
- d. Posting a Bond satisfactory to SBA
- e. Filing and signing a new debenture agreement for \$150,000 in Section 302 funds

When this Examiner arrived in [REDACTED] office he was accorded a full degree of cooperation. The following story was related by [REDACTED]
[REDACTED] formed and financed Sun Capital Corporation early this year with the expressed intention of self-dealing with some of his pet projects. When it was pointed out to [REDACTED] that such a procedure was contrary to SBA Rules and Regulations he



decided that he had no further use for a small business investment company. Inasmuch as no loans or investments had yet been made and most of the funds including \$150,000 in Section 302 funds had been converted into certificates of deposit at his bank, Mr. Snyder decided to sell the Licensee outright. To this end, he placed an ad in the Wall Street Journal. Included amongst some 200 responses to this ad, was one from a [redacted] representing principals of a company known as Contractors Guild, Inc., of 40 Wall Street, Suite 3601, New York, New York. [redacted] asked \$164,000 for the Licensee which was agreed to by the prospective buyers. To consummate the transaction, the purchasing principals, [redacted] represented by their attorney [redacted] arrived in Pittsburgh on Friday October 9, 1964, after having mailed a signed agreement. (Copy attached hereto) to [redacted]. However, the transaction was not consummated because the buyers were unable to produce the entire purchase price. They indicated that they had \$50,000 and intimated that the balance of the purchase price was en route by courier from the Curtis National Bank in Miami, Florida. They asked for the release of the certificates of deposit pending the arrival of the courier with the balance of the purchase price. At this point, the alarm went off in [redacted] head.

On Monday October 12th, while this examiner was interrogating [redacted] the latter received a phone call from [redacted] the prospective buyer's attorney and a meeting was scheduled for later that afternoon. As related by [redacted] after the meeting, [redacted] was informed of the seller's conditions before any deal would be consummated. After some further discussion, [redacted] returned to his clients with the promise that he would return soon with their decision. [redacted] ventured the opinion that [redacted] appeared to be a highly ethical attorney. (Examiner's note: [redacted] has recently purchased Frontier Capital Corporation and is in the process of transferring the corporate charter from New York to the Washington, D. C., area).

Additional Observations: At no point during interrogation was anyone able to identify [redacted]

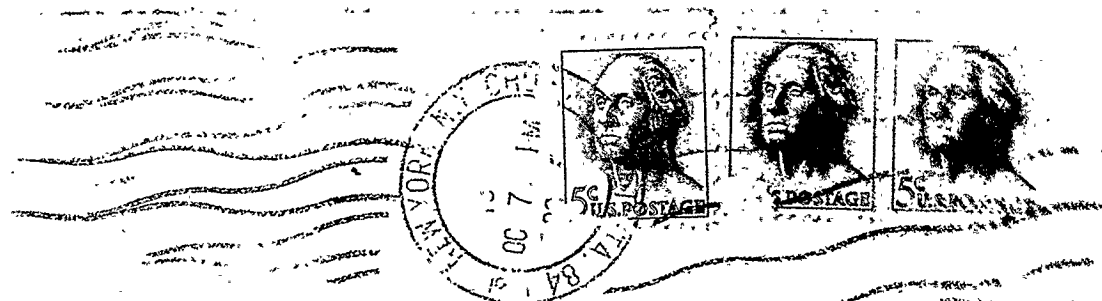
[redacted] Although none of the other names used were recognized by this examiner as connected with Roosevelt Capital Corporation, there are two clues which tie the new management of Roosevelt Capital Corporation very closely with this attempted acquisition. First, the use of Contractors Guild, Inc., as the buyer -- which vehicle was utilized for the same purpose in the purchase of Roosevelt Capital Corporation. Second, the utilization of the Curtis National Bank in Miami, Florida which appears to be controlled by Pierson, [redacted] (his attorney) and others in the

Contractors Guild and Wick Investment hierarchy. At no point does it appear that [redacted] is overly familiar with his clients in this matter -- nor does it appear that he has a self interest in this acquisition.

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Recommendation: Current transfer of the Licensee of Sun Capital Corporation should not be approved by SBA. The Department of Justice should be informed by us of the continuing efforts of the Crosby-Pierson group to obtain and make fraudulent use of SBIC funds. This follows along the lines of my original recommendation. Obviously, we must take quick remedial action to prevent these unscrupulous individuals from further depredations and misuse of Federal and Public funds.

One further recommendation is made with reference to the Rules and Regulations governing SBICs. That is that stress be placed on the prior SBA approval of new incoming management rather than approval subsequent to the consummation of any Licensee transfer. Our present Regulations in this regard appear to be too lax and ineffectual.



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AT

CONTRACTORS GUILD, INC.



40 Wall Street
Suite 3601
New York, New York 10005

October 7, 1964



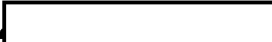
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Dear 

Pursuant to your conversation with  and  I am enclosing herewith an original and a copy of the executed Agreement with our Company.

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We will arrive at the Pittsburgh airport on Friday at 10:00 a.m., unless we leave Thursday evening, in which case we will stay at the Penn Sheraton and be at the hotel by 10:30 p.m. Thursday.

In any event, this will confirm to you  that we will be prepared to close this transaction this Friday morning at 11:00 a.m. in your office in the Frick Building (we will advise you of the exact time of our arrival in Pittsburgh).

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Thank you for your kind cooperation.

CONTRACTORS GUILD, INC.



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WEC: er

Enclosures: 2 (as stated)

AGREEMENT made as of the 6th day of October 1964 by and between CONTRACTORS GUILD, INC. a New York Corporation (hereinafter set forth as "Contractors"), and and such other Stockholders of SUN CAPITAL CORP. as subscribe this Agreement and become a party herein (hereinafter collectively set forth as "Stockholders").

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WITNESSETH:

WHEREAS,

(A) SUN CAPITAL CORP. (hereinafter referred to as "Sun") is a small business investment corporation organized by and under the laws pertaining to such corporations and under the jurisdiction and control of the Small Business Administration; and

(B) SUN has engaged in no business whatsoever since its incorporation except as set forth in Schedule "A" herein annexed; and

(C) The parties contemplate that Contractors shall purchase and the Stockholders sell all of the issued and outstanding stock of SUN upon the terms herein set forth.

NOW, THEREFORE, it is agreed as follows:

1. Contractors shall purchase and the Stockholders shall sell all of the issued and outstanding stock of SUN for an aggregate purchase price of One Hundred and Sixty-Four Thousand (\$164,000.00) Dollars payable at closing as herein provided.

-cont'd.-

Contractors may at its option purchase less, but shall not be required to without its prior written consent, than all of said issued and outstanding stock.

2. On or before October 10, 1964, Contractors shall cause to be issued by the Bankers Trust Company an irrevocable 60-day letter of credit in the sum of One Hundred Sixty-Four Thousand (\$164,000.00) Dollars which shall provide for payment of said sum against delivery of seventeen thousand (17,000) shares of the capital stock of Sun, which number of shares the Stockholders warrant and represent to be the entire issued and outstanding shares of said Corporation, said stock to be delivered free and clear in all respects, duly endorsed for transfer to Contractors or its nominees and with all necessary transfer stamps thereon duly affixed. If closing is not had as herein provided within said 60-day period, said Letter of Credit shall expire by its terms.

3. The Stockholders shall cause Sun forthwith to prepare and file a post licensing amendment to the licensing proposal of Sun for submission to and approval of the Small Business Administration, which amendments shall provide for such change in officers and directors of Sun as shall be requested by Contractors and such other amendments as may be required by Contractors to effectuate the sale contemplated herein. The Stockholders shall fully cooperate in furnishing all information and documents necessary to the preparation of said amendments. If same are not approved by the Small Business Administration

within 60 days from the date of the issuance of said Letter of Credit, Contractors may at its option cause title to be closed as herein provided on or before the date of expiration of said Letter of Credit.

4. The closing shall be held at such time and place and on such date as Contractors may fix, provided same is held on or before the expiration date of said Letter of Credit. Notice of such closing shall be given by Contractors at least 48 hours prior to the date fixed for same. Notwithstanding anything herein contained if the Small Business Administration has not approved such amendments on or before the expiration date of said Letter of Credit and if Contractors has not elected to close by notice in writing as herein provided without such approval, this Agreement shall at the expiration of said 60-day period be deemed terminated, null and void and of no further force and effect, neither party shall have any further obligations hereunder and said Letter of Credit may expire by its terms. If, at closing, less than one hundred (100%) per cent of the issued and outstanding stock is accepted by Contractors, the price for such stock per shares shall be the sum of \$164,000.00 divided by 17,000. In addition, if all Stockholders of Sun have not subscribed this Agreement to Contractors, the latter may at its option forthwith terminate this Agreement, whereupon same shall be null and void and of no further force and effect.

5. At closing, against payment of the price of stock to be purchased hereunder, the Stockholders shall deliver to Contractors the following:

(A) All books, records and documents pertaining to Sun including but not limited to stock and minute books, tax returns, contracts, books of account and assets.

(B) Resignations of officers and directors as requested by Contractors.

(C) The stock to be purchased duly endorsed with transfer tax stamps thereunto affixed as hereunto stated.

(D) Such other papers and documents as may be required to effectuate the transfer herein.

5. The Stockholders warrant and represent that:

(A) Sun is a Pennsylvania corporation duly organized by and under the Small Business Investment Act of 1958 as amended, is validly existing and in good standing under such laws and has the power to own its property and carry on its business as a small business investment corporation.

(B) Sun has duly complied with all of the laws, regulations, rules, orders and applicable directives or releases of the United States Government and of any administration, department and authority thereof including the Small Business Administration and of all states and any subdivisions thereof in which it is authorized to do business or is engaged in business.

(C) Annexed hereto is Exhibit "B" constituting a statement of the financial condition of Sun as of the date therein set forth. Said financial statement is true and correct, has been prepared in accordance with

generally accepted accounting principles consistently applied, accurately and truly reflects the assets and liabilities and statements of operations of Sun, and that since such period there has been no material adverse change therein, nor will there be by any such change at or as of the closing date.

(D) There are no contingent liabilities of whatsoever kind or nature, tax or otherwise of Sun, except as set forth in the annexed Exhibit "B".

(E) The authorized capital stock of Sun consists of 100,000 shares of which 17,000 are duly and validly issued and outstanding, fully paid and non-assessable. Same will be the sole issued and outstanding shares as of closing date and no shares are subject to issuance on account of any option, conversions, or other rights to purchase same.

(F) Sun has not declared and shall not declare or pay any dividend or declare or make any distribution or authorize the creation or issuance of any stock nor will it take any action pertaining to reorganization, consolidation, merger, reclassification, change in capital structure or in any respect engage in any business without the prior written consent of Contractors.

(G) Sun has filed all necessary and appropriate tax returns and has paid all taxes as shown thereon; It has good and marketable title to the assets reflected in its balance sheet and none of same is subject to any encumbrance, lien or charge of any kind or nature.

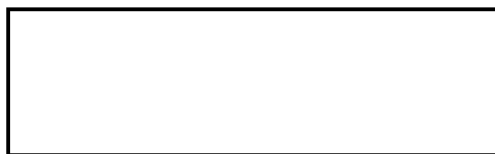
(H) There are no contracts presently outstanding to which Sun is a party and no legal actions, governmental investigations or other proceedings in which it is engaged or threatened.

(I) They are the owners free and clear and unencumbered in all respects of all stock to be sold by them herein.

(J) Each of the foregoing warranties and representations shall apply from the date hereof to the closing date and shall survive such closing.

6. All notices shall be by registered or certified mail.

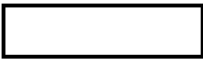
(A) Notices to the Stockholders shall be care of:



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Notices to Contractors shall be care of:



(B) The parties agree that the sole finder and broker herein is  to whom Contractors shall pay a commission as per separate agreement if, as and when title closing is had herein and to whom no commission shall be payable if there is no title closing regardless of cause, except for willful default.

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(C) No waiver hereunder shall be valid unless in writing and any waiver so given shall be limited

solely to the matter waived and shall not bind the party so waiving on any other or future matter. This Agreement may not be cancelled, modified, altered, or amended in any respect, unless subscribed by all of the parties hereto in writing.

(D) The representations, warranties and Agreements made herein by the parties shall survive the closing hereunder.

(E) This Agreement shall be binding upon and inure to the benefit of the parties hereto and their respective successors, representatives and assigns.

IN WITNESS WHEREOF, the parties hereto have executed this Agreement the day and year first above written.



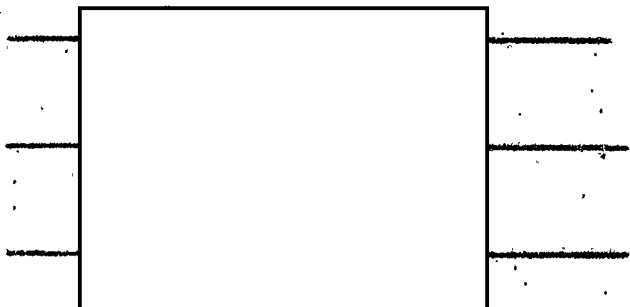
CONTRACTORS GUILD, INC.



SUN CAPITAL CORP.

By: _____

STOCKHOLDERS:



Witness for Stockholders

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FEDERAL BUREAU OF INVESTIGATION
FOI/PA
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October 22, 1964

1 - Mr. Lyles

Airtel

To: SAC, New York
From: Director, FBI

51211-1

FRANCIS PETER CROSBY
RAYMOND E. PIERSON
ROOSEVELT CAPITAL, CORPORATION
GARDEN CITY, NEW YORK
FAG

Enclosed for the New York Office are two copies each of self-explanatory letter dated 10/14/64 from SBA together with two copies each of the enclosures thereto.

Immediately discuss this matter with United States Attorney for his prosecutive consideration under Sections 1001, 387, Title 18, U. S. Code or other possible criminal statutes within Bureau's jurisdiction. In this respect and for your information the Criminal Division has advised that it has reviewed the SBA's letter and enclosures being furnished to you and feels that this matter has prosecutive merit and should be brought to the immediate attention of the United States Attorney.

It is noted that subject Crosby appears to be identical with person known to your office as the playboy, who was formerly married to Denise Darcel and was sentenced 6/17/60 in the Southern District of New York to five years imprisonment and a fine of \$10,000 on Mail Fraud and Fraud by Wire charges in connection with sales of two million dollars worth of unregistered oil stock. For your further information Bureau files contain no information identifiable with subject Raymond E. Pierson.

Suairtel promptly as to results of your discussion of this matter with United States Attorney, action being taken by your office pursuant to such discussion, and earliest date comprehensive report will be forwarded to the Bureau.

Enclosures (4)

CWL:jad
(4)

NOTE: N. E. Kossack, Criminal Division telephonically advised 10/15/64 USA Charles W. Lyles that Criminal Division had reviewed this matter, that it appears to have prosecutive merit, and should be brought to attention of USA New York.

MAILED 8

OCT 27 1964

COMM-FBI

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Belmont _____
Mohr _____
DeLoach _____
Casper _____
Callahan _____
Conrad _____
Evans _____
Gale _____
Rosen _____
Sullivan _____
Tavel _____
Trotter _____
Tele. Room _____
Holloman _____

67 OCT 27 1964 TELETYPE UNIT

SMALL BUSINESS ADMINISTRATION
WASHINGTON 25, D. C.

OCT 14 1964

IN REPLY REFER TO: ED:RCD

J. Edgar Hoover, Director
Federal Bureau of Investigation
Washington 25, D. C.

Dear Mr. Hoover:

Re: Roosevelt Capital Corporation, a small business investment company licensed by the Small Business Administration under the Small Business Investment Act of 1958, as amended.
License No. 02-0108

This means is being taken to convey to you a serious problem we have encountered with captioned Licensee. This company was licensed on February 8, 1962, and in May of 1964, it was sold to a group in New York City who appear to have negotiated the sale with the purpose of obtaining the use of Government funds for their own purposes in violation of the Regulations of the Small Business Administration, as well as the Small Business Investment Act of 1958. Operating in similar fashion, this same group attempted to purchase another Licensee in Pittsburgh on October 9, 1964, this company being Sun Capital Corporation (License No. 03-0054). This contemplated sale did not materialize partially because of prior notice given the owner of Sun Capital Corporation by SBA.

From the information obtained to date, it appears that the sole purpose for purchasing Licensees is to obtain the use of Government funds received by the Licensees (as matching funds).

From information received in the course of our inquiry, it appears that several members of the group referred to above are well known to the FBI and it is believed this information will be of considerable interest to you. As attachments to this letter, we are transmitting the information in our possession, believed to be informative in this matter.

ENCLOSURE

EX-114
ONCL BEHIND FILE
N.Y.
CWL/mws
10/21/64

REC-19

51211-1
OCT 19 1964

Attachment No. I - The takeover of Roosevelt Capital Corporation (License No. 02-0108) - SBA Investment Division Chief, New York, Mr. Ray Connolly - visited the Licensee on July 20, 1964, and for the first time to the knowledge of SBA, it was learned that the Licensee had been sold. (See Attachment I-A). By letter dated September 1, 1964, Mr. Alfred L. Christoffers, president of Precon Structures Division, complained to SBA that the takeover group of Roosevelt Capital Corporation, which included Mr. Peter Crosby, III, Mr. Ray Pierson, and others had negotiated a loan to his company in the amount of \$22,000 and he, to his detriment and harm, could not obtain the funds from the Licensee. (See Attachment I-B). The contract of purchase of the Licensee by this group is included - (see Attachment I-C).

Examiner Clarence A. Levine, Examinations Division of SBA, conducted a preliminary investigation on the foregoing matters and the results of his investigation as reported in various memoranda are attached hereto as Attachment I-D. In brief, on the date of takeover, May 14, 1964, this takeover group disbursed available funds of the Licensee and the so-called borrowers could not be identified nor located by Mr. Levine. In the course of his inquiry, Mr. Levine received from Mr. Ray E. Pierson - believed to be a principal member of the takeover group - a letter dated August 24, 1964, advising that the books and records of the Licensee were in the possession of [redacted] a New York attorney, and [redacted] a New York accountant. Mr. Levine's efforts to locate the books and records of Roosevelt Capital Corporation proved negative and they have not been located nor examined to date. A Debit Advice dated May 28, 1964, of the First National City Bank of New York indicates the sum of \$58,648.20 was debited to the account of Roosevelt Capital Corporation, the purpose being the purchase of 1,000 shares of Texas Gulf Sulphur, per instructions of Mr. Ray Pierson, listed as vice president. This copy of the Debit Advice was procured by Mr. Levine from [redacted] of the law firm of Knapp and Berson of New York.

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Attachment No. II - Litigation between Stockholders of Wick Investing Corporation of Delaware VS Management of Wick, who comprised Messrs. Pierson, Crosby, et al - The stockholders are represented by the law firm of Knapp and Berson and in particular, [redacted] Information concerning this litigation is set forth in this attachment. This litigation is before the Supreme Court of New York and the latest hearing on this matter is scheduled for October 15, 1964.

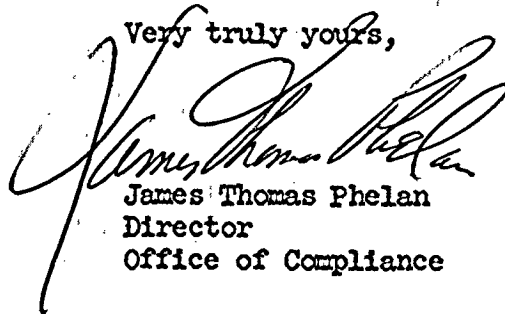
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Attachment No. III - Inquiry concerning repayment of SBA funds by the takeover group. The correspondence in this matter is attached.

Attachment No. IV - Attempted takeover of Sun Capital Corporation, (License No. 03-0054), Pittsburgh, Pennsylvania, on October 9, 1964 - In a manner similar to the takeover of Roosevelt Capital Corporation and for the same apparent reasons, the aforementioned takeover group met resistance by the Licensee when it appeared that the Licensee would be purchased by funds of the Licensee.

It is noted that the known facts concerning the takeover of Roosevelt Capital Corporation was referred to the Department of Justice by SBA's Office of General Counsel and there has been discussion for several weeks between the Agencies as to the appropriate action. If we can be of further assistance, please call upon us.

Very truly yours,

A handwritten signature in dark ink, appearing to read "James Thomas Phelan", is written over the typed name and title.

James Thomas Phelan
Director
Office of Compliance

Attachments

UNITED STATES GOVERNMENT

Memorandum

Tolson _____
Belmont _____
Mohr _____
DeLoach _____
Casper _____
Callahan _____
Conrad _____
Evans _____
Gale _____
Rosen _____
Sullivan _____
Tavel _____
Trotter _____
Tele. Room _____
Holmes _____
Gandy _____

TO : Mr. Belmont

DATE: October 20, 1964

FROM : A. Rosen

1 - Mr. DeLoach
1 - Mr. Belmont
1 - Mr. Rosen
1 - Mr. Malley
1 - Mr. McGrath
1 - Mr. Lyles

SUBJECT: FRANCIS PETER CROSBY
RAYMOND E. PIERSON
ROOSEVELT CAPITAL CORPORATION
GARDEN CITY, NEW YORK
FRAUD AGAINST THE GOVERNMENT

The Small Business Administration (SBA) by memorandum dated 10/14/64, (received 10/20/64) advised that Francis Peter Crosby and Raymond E. Pierson in May of 1964, obtained a \$150,000 SBA loan for Roosevelt Capital Corporation which they controlled. These funds were siphoned off to the personal benefit of Crosby and Pierson.

Crosby is the millionaire playboy who was formerly married to Denise Darcel and has come to the attention of the Bureau concerning his involvement in stolen bonds and stock swindles. He was sentenced 6/17/60, in the Southern District of New York to five years and a fine of \$10,000 on Mail Fraud and Fraud by Wire charges in connection with sales of over two million dollars worth of unregistered oil stock.

Bureau files contain no information identifiable with Raymond E. Pierson but SBA advises that Pierson's background appears to be in the field of film distribution and that he is a partner of Crosby in a distributing company called United Film World. It was also indicated that Pierson has been Mickey Rooney's agent for many years and is now representing George Jessel.

ACTION:

This matter is being referred to the field for expeditious investigation under Fraud or other possible criminal violations under Bureau's jurisdiction.

CWL:ees

(7)

58 OCT 28 1964

REC-31 51211-2

EX 109

OCT 22 1964

RECEIVED SECTION

F B I

Date: 10/28/64

Transmit the following in _____
(Type in plaintext or code)Via AIRTEL _____
(Priority)

TO: DIRECTOR, FBI

FROM: SAC, NEW YORK (46-New)

SUBJECT: FRANCIS PETER CROSBY;
RAYMOND E. PIERSON;
Roosevelt Capital Corp.,
Gardencity, NY
FAG

ReBuairtel, 10/22/64.

The facts in this matter were discussed with AUSA STEPHEN KAUFMAN, SDNY, who advised he does not see any obvious Federal violation based on available information. He determined SEC was conducting similar investigation of PIERSON's and CROSBY's financial transactions and requested they be contacted to determine the extent of their investigation.

SEC, NYC, advised they have reviewed CROSBY's and PIERSON's numerous financial transactions because of CROSBY's background and conviction in 1960. However, they have found no SEC violations. They also noted that the Small Business Agency (SBA) has contacted them regarding these individuals.

AUSA KAUFMAN subsequently advised that facts regarding the procedural regulations of SBA regarding loans to SBA licensees should be obtained to determine if false state-

3 - Bureau
1 - New York

JGW:mab
(5)

C. C. WICK

REC-48

46-37211-3

1 OCT 29 1964

Approved: JFM / Jwp

Sent _____ M Per _____

58 NOV 3 1964

Special Agent in Charge

NY 46-New

ments are involved; however, he noted that, no doubt, the original owners of Roosevelt Capital Corp. contracted with the SBA in this regard and they, perhaps, are in violation for not returning the money when they sold interest.

An attempt was made to contact SBA official familiar with this matter on 10/28/64; however, he was not available. He will be contacted and facts then discussed with AUSA for preliminary opinion. Bureau will then be appropriately advised of discussion and details regarding submission of report.

Date: 10/30/64

Via AIRTEL _____
(Priority or Method of Mailing)

Photo
REC'D
APR 25 1991
J.G. [Signature]
3/11/91

Re NY airtel dated 10/28/64.

Enclosed herewith are the original and three copies of a self-explanatory LHM for dissemination, a copy of which will be furnished to the USA, SDNY.

The NYO will conduct no additional investigation pending advice from the Department and report will be held in abeyance.

1cc 200000 SBA
over 8/1/64
11/13/64
2/28/65
1/1/66

3 - Bureau (Encls 4)
1 - New York ()

JGW: bxb
(5)

1 cc SBA Miller via 0-6
2 cc AGG Doris Williams
Miss Doris Williams
1227, Indiana Building
RM 46-5
CC 81

46-51211-4

C. C. Wick
Approved: *[Signature]* 1cc
SA NOV-6 Special Agent in Charge

Sent _____ M **ADD: DISSEMINATION**



UNITED STATES DEPARTMENT OF JUSTICE

FEDERAL BUREAU OF INVESTIGATION

New York, New York
October 30, 1964

In Reply, Please Refer to
File No.

Re: Francis Peter Crosby;
Raymond E. Pierson;
Roosevelt Capital Corp.,
Garden City, New York

By letter dated October 14, 1964, the Director of the Office of Compliance, Small Business Administration (SBA), Washington, D.C., furnished information to the Federal Bureau of Investigation (FBI) regarding the above captioned individuals and corporation and indicated that this matter had been discussed by the General Counsel's Office of SBA with the Department of Justice, as to what appropriate action should be taken.

In substance, information was furnished by SBA that Roosevelt Capital Corporation (RCC), a licensee of SBA, received United States Government funds, amounting to \$150,000 and in May, 1964, RCC was sold to a New York City group, composed of primarily Crosby and Pierson. SBA further advised that there were indications that Crosby and Pierson had attempted to purchase ~~SBA~~ SBA licenses, although they were unsuccessful in this regard.

SBA felt that the sale of RCC, as well as the attempted purchase of other SBA licenses by Pierson and Crosby was primarily for the purpose of obtaining the use of United States Government funds.

This document contains neither recommendations nor conclusions of the FBI. It is the property of the FBI and is loaned to your agency; it and its contents are not to be distributed outside your agency.

46-21211-4

Re: Francis Peter Crosby;
Raymond E. Pierson;
Roosevelt Capital Corp.,
Garden City, New York

SBA determined that as soon as the take over of RCC was accomplished, funds were disbursed in the form of loans to companies in which Crosby and Pierson had some financial interest. Stock in the Texas Gulf Sulphur Company was also purchased with RCC funds and later sold with the proceeds going to the former majority stockholder, Wick Investing Corporation of Delaware, the present owner of RCC. When RCC was sold by the original licensee of SBA, there remained a balance of approximately \$150,000 in their account and it is further presumed that the above transactions were conducted with United States funds, a violation of SBA contractual agreement with the original licensee.

On October 28, 1964, the facts in this matter were discussed with Assistant United States Attorney (AUSA) Stephen Kaufman, Southern District of New York (SDNY), who advised he did not see any obvious federal violation based on available information. He determined the Securities and Exchange Commission (SEC) was conducting a similar investigation of Pierson's and Crosby's financial transactions and requested they be contacted to determine the extent of their investigation.

SEC, New York City, advised they have reviewed Crosby and Pierson's numerous financial transactions, because of Crosby's conviction in 1960 for stock manipulations, however, they have found no violations.

AUSA Kaufman subsequently requested that the procedural regulations of SBA regarding loans to licensees be obtained to determine if false statements

Re: Francis Peter Crosby;
Raymond E. Pierson;
Roosevelt Capital Corp.,
Garden City, New York

are involved. However, he noted that, no doubt, the original owners of RCC contracted with the SBA in this regard and they perhaps are in violation for not returning the money when they sold their interest.

On October 29, 1964, R.J. Connelly, Chief, Investment Division, SBA, New York City, advised that he is completely familiar with the RCC matter, as he personally determined that Charles Shapiro, the original owner of RCC, had sold his interest to the present owners. He said Shapiro told him the sale of RCC had been approved by SBA, Washington, in accordance with the rules and regulations of SBA; however, Connelly determined that this was not true and transfer of the license had not been approved by Washington. He said no statements of any kind have ever been submitted to his office by the new owners of RCC and he knows of no statements filed by Pierson or Crosby with SBA in Washington. He noted that Pierson has offered to repay the \$150,000 with interest to SBA.

He said it appears recourse by the United States Government would be against Shapiro as he had agreed not to sell his license or business without prior approval of the SBA.

He said RCC, now owned by Wick, displayed the SBA license in their office in New York City and, in fact, agreed to lend money to a small business, which transaction was never consummated as notes received by the borrower "bounced" at the bank when negotiated. He said there is no specific information that Pierson, Crosby or Wick were aware that the sale of RCC had not been approved by SBA, Washington.

Re: Francis Peter Crosby;
Raymond E. Pierson;
Roosevelt Capital Corp.,
Garden City, New York

On October 29, 1964, the facts were rediscussed with AUSA Kaufman, who advised that it appears that Shapiro was in violation with his agreement with SBA when he sold RCC to Pierson and Crosby. He noted that no false statements have been filed with SBA by the subjects and it would appear that if Pierson has not already refunded the \$150,000 with interest, SBA's recourse would be against Shapiro with no possible loss to the government. He advised that although it appears subjects have attempted to purchase other SBA licensees, the primary responsibility rests on the licensees, who have agreed not to sell their interests without prior approval of SBA.

He stated that based on available information there appears to be no obvious federal violation within the primary jurisdiction of the FBI and this appears to be of an administrative nature, with appropriate action being taken by SBA to protect the government's interest. He said that in view of the Department's knowledge of this matter and contact with SBA, Washington, the Department is requested to advise of any additional action desired in this regard, although, he stated based on the available information, he does not feel this case has prosecutive merit.

November 3, 1964

Airtel

1 - Mr. Lyles

To: SAC, New York (46-6700)

From: Director, FBI

FRANCIS PETER CROSBY
ET AL.
FAG

Reurairtel 10/30/64.

Enclosed for the New York Office is one Photostatic copy of a letter dated 10/23/64 from the Small Business Administration (SBA), together with the enclosures thereto concerning additional information with respect to captioned matter. A Photostat copy of this material has also been furnished to the Criminal Division.

The Stephen Brodie referred to in the SBA letter is not identifiable in the Bureau files. With respect to the request that the FBI take appropriate measures to protect the informant in this case (page 2 of SBA letter) the Bureau is furnishing appropriate advice to SBA by separate communication concerning Bureau responsibilities in such situations.

Immediately make available to AUSA Kaufman the additional information from SBA for his consideration with respect to over-all aspects of the allegation in this case.

The letterhead memorandum enclosed with reairtel has been furnished to the Criminal Division and its advice as to any possible further action in this matter will be furnished to you promptly upon receipt.

Enclosures (15)

CWL:rab
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EX-103

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ENCLOSURE

46-51211-6

Encl. #1

UNITED NEW JERSEY INVESTMENT & INDUSTRIAL CORP.

Suite 3601

40 Wall Street

New York, New York 10005

HA 5-2885

September 17, 1964




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Re: Capital Corporation of America

Dear 

Thank you for your letter of September 15, 1964 directed to Mr. Ray E. Pierson.

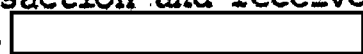
We are enclosing two copies of a proposed agreement for the purchase of 100% of the common capital stock of Capital Corporation of America. After reading the within agreement, you will note that we have omitted a number of items previously referred to in our correspondence and in the letter of September 14 written to you by 

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Counsel has suggested that we include references to the aforementioned omitted items in a separate letter somewhat to the following effect:

"The attorney for 'Capital' shall execute a letter, on behalf of and with the approval of the sellers, in which he will undertake the following matters, to wit:

1) He shall hold in escrow the sum of \$27,200 to be paid to the present stockholders of Capital Corporation of America against delivery by them of their respective common stock shares, duly endorsed and with all necessary transfer stamps thereon duly affixed.

2) He shall hold in escrow the sum of \$8,500 which he shall deliver to the account of Robert C. Morris, as part of his brokerage fee in this transaction and receive therefor a receipt to said effect from 

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-cont'd.-

[redacted]
September 17, 1964

Page Two

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3) The said counsel for 'Capital' shall cause 'Capital' forthwith to prepare for submission to and approval of the Small Business Administration the necessary instruments to obtain an immediate approval of matching 302 funds.

4) In addition to the foregoing, counsel shall cause a resolution to be submitted to the 'Stockholders' for a change of name of the subject corporation to some other title approved by the purchaser.

To protect the purchaser as to the remaining 15% of the stock of 'Capital', counsel for 'Capital' will hold a sum in escrow sufficient for the purpose of payment and deliver such sum to the respective stockholders only upon receipt of the remaining 15% of the stock following approval of the Small Business Administration. The said stock will then be delivered to the purchaser forthwith by counsel. This condition refers expressly to the clause contained on page 2, paragraph 'second', in the letter of September 14, 1964 to [redacted] from [redacted]

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Incidentally, in reference to the Five Points National Bank, its location is at "Five Points", on Coral Way, in Coral Gables, Miami, Florida.

We would appreciate your forwarding the within copies of the proposed agreement, as well as a copy of the instant letter, if same meets with your understanding of this transaction, to [redacted] the attorney for the seller, for its submission to the stockholders at the special meeting called for September 21, 1964 at 2:00 p.m. For your convenience, we have enclosed an additional copy of this letter.

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Thank you for your kind and prompt attention to this matter.

Very truly yours,

UNITED NEW JERSEY INVESTMENT AND
INDUSTRIAL CORP.

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Enclosures: 3 (as stated)

[redacted]

United Nations Financial Corp.

Encl. #2

August 26, 1964

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RE: SBIC Acquisition

Dear [redacted]

You are correct in your assumption stated in your letter of August 23rd concerning our oversight, Re: The Cashiers Check for part of the annual interest expenses concerning the takedown of \$300,000.00 of 302 funds from SBA. The annual interest charge at 5% on \$300,000 is \$15,000.00; one months interest, therefore, comes to \$1,250.00, and this sum in the form of a cashiers check, we will deposit with you and/or your principals. The day or the day following the receipt of the \$300,000 of 302 funds, we will effectuate the proposed acquisition of 100% of the shares of the SBIC.

If for some reason a settlement was not completed, the cost of the 302 money for a week would be approximately \$300.00, and within said time span, the aforesaid funds could be returned to SBA and interest charges terminated.

Looking forward to receiving an incisive response from you after the first of September, we are

Sincerely yours,

UNITED NATIONS FINANCIAL CORP.


RAY E. PIERSON - PRESIDENT

REP:cs

N.Y.

ADMINISTRATIVE OFFICE SUITE 3601, 40 WALL STREET, NEW YORK 5, N. Y. HA 5-2885

August 23, 1964

Mr. Raymond B. Pierson
Chairman-of-the-Board
United Nations Financial Corp.
40 Wall Street, Suite 3601
New York 5, N.Y.

Dear Mr. Pierson:

Subject: SBIC Acquisition

I note that in yours of August 20 that the matter as discussed with your representatives is reasonably well covered with one exception. This, I am sure was an oversight.

It was indicated to me that if the principals in this SBIC could be prevailed upon to make application for their 302 funds, that a cashier's check in the amount representing the initial charge for these funds would be posted at once. I am sure that this would present no difficulty, but since it was not part of your outlined proposal, felt that this should be mentioned.

I was advised yesterday that the President of this SBIC with whom I must deal is out of town on business and probably will not return for another week. Hence, I expect that I will be able to submit your proposal and advise you of the outcome on or about the 31st of this month.

Sincerely yours,

[Redacted Signature]

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United Nations Financial Corp.

August 20, 1964




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Re: SBIC Acquisition

Dear 

You have stated to our representatives at Washington, D.C. that you believe you can deliver 100% of the issued shares of an SBIC controlled by General Nathan Twining.

The aforesaid entity has \$320,000 cash internally and is eligible for its present matching 302 funds, which we understand would be in the sum of \$320,000. Provided the selling group would request their matching funds, upon receipt of same we would pay \$355,000 for 100% of the shares of the SBIC, including a \$10,000 brokerage commission for yourself.


Some of the principals and proposed directors and officers of the SBIC representing our group would be 

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Looking forward to receiving a prompt and incisive response from you in the immediate future, we are,

Sincerely,

UNITED NATIONS FINANCIAL CORP.


Raymond E. Pierson
Chairman-of-the-Board

REP: er

Enclosure: 1 (as stated)

ADMINISTRATIVE OFFICE SUITE 3601, 40 WALL STREET, NEW YORK 5, N. Y. HA 5-2885

September 23, 1964

Mr. Raymond E. Pierson
Chairman-of-the-Board
United Nations Financial Corporation
40 Wall Street, Suite 3801
New York 5, N.Y.

Dear Mr. Pierson:

With reference to the negotiations concerning the S.B.I.C., Capital Corporation of America, I have been requested to stress once again the importance, if possible, of having a bank spearhead the purchasing arrangements.

I am advised that already some change, the nature of which I am not familiar, has been made with respect to the 303 funds, (not the 302 as yet) and [redacted] General Counsel for this group is most concerned that negotiations be completed in as short a time as possible. He feels, and has been so assured by S.B.A. that the presence of the bank, if possible as the principal purchaser, would expedite things substantially.

I mention this at this time, since I have been given to understand that a Director's meeting of the bank under consideration is to be held this Friday, and possibly when your Attorney comes down here next week an acceptable formula will have been arrived at.

Sincerely yours,

[redacted]

RCM/ay

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September 15, 1964

Mr. Raymond E. Pierson
Chairman-of-the Board
United Nations Financial Corp.
40 Wall Street, Suite 3601
New York 5, N.Y.

Dear Mr. Pierson:

In accordance with prior phone conversations and correspondence, I am pleased to enclose a letter to me from [redacted] General Counsel for Capital Corporation of America.

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Naturally, as I am sure you are aware, complete information with respect to the purchasor must be furnished for the benefit if S.B.A.

Some curiosity was expressed as to the location of the Five Points National Bank, Five Points, Fla., since apparently neither the office of the Comptroller of the Currency or any other source here could locate either the bank or the place.

You will note that there are only two essential changes with respect to the situation as previously outlined. One is their desire to retain the name, which I felt would be relatively unimportant. The other is a reduction in the matching funds of \$ 5,000.00 which was a requirement of S.B.A., due to the fact that this was expended as organizational costs. The balance of the costs were operational.

Your prompt attention and reply will be anticipated.

Sincerely yours,

[redacted]

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September 9, 1964

Capital Corporation of America
1000 Vermont Avenue, N. W.
Washington, D. C.

Dear [redacted]

I am pleased to advise that the following representations have been made to me by United Nations Financial Corp. of New York concerning their interest in acquiring the SBIC known as Capital Corporation of America.

They will pay in cash the amount of funds currently represented by the stock of the corporation. Originally this amount was \$320,000, but I understand that through accumulation of dividends that it is now approximately \$332,000. In addition, I understand that they are willing to pay the organizational and operating costs to such date as is specified for the consummation of this transaction. In addition, the sum of \$10,000 is to be paid to you as part of the transaction and in turn released to me as my commission.

It should be clearly understood that a definite condition attaches to the successful completion of this arrangement. It is expected by the purchasing group that such arrangements will be made as to effect the immediate release of the matching 302 funds. Further, it has been represented to me that the purchasing entity does not wish to retain any of the group now constituting the officers and directors of Capital Corporation of America.

I neglected to mention that in connection with the acquisition of the 302 funds, my principals will, of course, present a cashier's check for whatever interest and costs may be involved.

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September 8, 1964

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I sincerely trust that this will furnish you with sufficient details as to the intent of my principals to properly equip you to take whatever steps are necessary to obtain, I trust, a favorable outcome to this proposal.

Sincerely,

RCM:hfs

Encl. # 4

TELEPHONE NATIONAL 8-4088
CABLE ADDRESS "DAVJON"

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LAW OFFICES
DAVIES, RICHBERG, TYDINGS, LANDA & DUFF
1000 VERMONT AVENUE, NORTHWEST
WASHINGTON 5, D. C.

ADRIEN F. BUSICK
OF COUNSEL

September 14, 1964

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Dear [REDACTED]

Pursuant to our various discussions we understand you have informally presented the sale of Capital Corporation of America to the proposed purchasers, whom you represent. When this was first discussed with the Small Business Administration we were under the impression the purchaser would be a number of individuals, probably 5 in number. You have since informed us that the purchaser may be a bank instead. We are advised that if the purchase were made by a bank, it would greatly simplify the transfer of control and the obtaining of matching funds.

As you know any such transaction must have the approval of the Small Business Administration which has requested that a definite agreement be submitted in connection with this proposed transfer of stock. Accordingly, we suggest that an agreement be prepared which would include the following points:

1. Capital Corporation of America proposes to sell to the new owners (to be named in the agreement) and they, in turn, agree to buy, 100% of the stock of Capital Corporation of America, for a total consideration of \$362,000, consisting as follows:

(a) \$320,000, representing the initial paid in capital of the corporation;

(b) Approximately \$32,000 expended for organizational and operating expenses to date; and

(c) \$10,000 commission to be paid over to you as a brokerage fee for consummating the transaction.

September 14, 1964

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2. It is contemplated by the parties that upon approval of the agreement by Small Business Administration, the purchase and sale will be made in two steps;

First: (a) 85% of the entire stock will be purchased and paid for immediately by delivering to the corporation's account the sum of \$272,000 in return for which the corporation will arrange for delivery of 18,137 shares of its issued stock duly endorsed over to the purchasers, or their nominees;

(b) 85% of the remaining \$42,000 will be paid to Capital Corporation of America at the time of the transfer of 85% of the stock for distribution in the following manner: (1) \$27,200 will be paid to the present stockholders in accordance with their respective stock ownership, and (2) subject to your approval and written consent, \$8,500 will be paid on account to [redacted] as part of his brokerage fee in this transaction.

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Second: The remaining 15% of the stock will be delivered within 90 days after approval of the agreement by Small Business Administration, payment for which stock will be placed in escrow by the purchaser at the time the transaction is closed on the 85% of the stock.

3. The foregoing is contingent on the approval by the stockholders and directors of Capital Corporation of America and on the approval of the Small Business Administration and the obtaining by Capital Corporation of America of a commitment from Small Business Administration for matching 302 funds in the maximum sum which is presently estimated to be about \$315,000. It is understood and agreed that applications will be filed simultaneously with Small Business Administration for (a) approval of the proposed sale of Capital Corporation of America, (b) the approval of the new purchasers, and (c) the award of matching 302 funds, in order that Small Business Administration's approval of the entire transaction will be simultaneous.

4. In addition to the foregoing, it is understood and agreed that the proposed purchaser is not interested in purchasing the name, Capital Corporation of America, and is agreeable to adoption of a resolution changing the name of the subject corporation to some other title of their own choosing, thereby leaving the name, Capital Corporation of America, available for future use by the selling stockholders.

5. It is also our understanding that the proposed purchaser does not expect any of the selling stockholders or directors in Capital Corporation

September 14, 1964

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[redacted]

of America to retain any identification with the company after it has been sold to your purchaser, unless the selling stockholders have been invited to continue and are willing to do so of their own volition.

6. You have also indicated that the purchaser expressed a real interest in having [redacted] remain available to serve the newly purchased corporation as general counsel. In the event that arrangement continues desirable, you have [redacted] assurance that he will hold himself available to serve in that capacity for the purchaser's benefit.

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If a proposed contract along the above lines can be prepared, we will present it to the Special Meeting of the Stockholders of Capital Corporation of America, which has been called for 2 P.M., on September 21, 1964. If it receives their approval, it will then be presented to the Small Business Administration in proper form for final consideration and approval by that agency, upon receipt of which we would be prepared to go forward with its execution.

Sincerely yours

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CRM:hfs

LAW OFFICES
DAVIES, RICHBERG, TYDINGS, LANDA & DUFF
1000 VERMONT AVENUE, NORTHWEST
WASHINGTON 5, D. C.

ADRIEN F. BUSICK
OF COUNSEL

September 29, 1964

United Nations Financial Corp.
Suite 3601
40 Wall Street
New York 5, N. Y.

Gentlemen:

We have been informed by [redacted] today that your representative, or your counsel, or both, will be unable to meet with us tomorrow, as temporarily arranged, for negotiations to close the contract for the purchase of Capital Corporation of America.

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We have been ready for about a week to meet with your people to negotiate for a contract to close this matter, and the purpose of this letter is to inform you that one of the conditions of the sale is that Capital Corporation obtain matching 302 SBA funds in substantially the amount of its paid in capital. You should be informed that the SBA is changing its rules and regulations, and for that reason, we may be precluded from obtaining these matching funds when the new rules and regulations come out some two to four weeks from now.

We urge you to review the situation and see if it is not possible for us to work out a satisfactory contract to consummate this matter promptly.

[redacted] and I will be available for appointment on Tuesday or Wednesday of next week, or earlier, if your people can arrange it.

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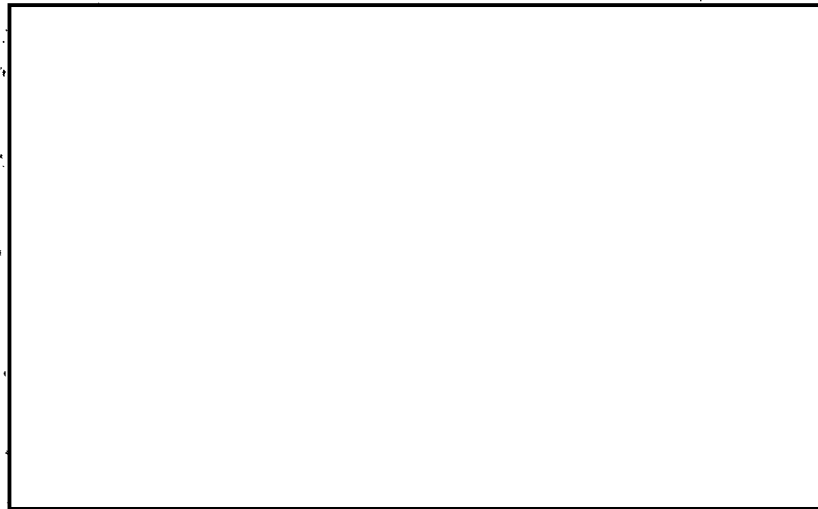
Very truly yours,

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CRM:hfs

cc: [redacted]

Encl. # 6



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within 60 days from the date of the issuance of said Letter of Credit, "United" may at its option cause title to be closed as herein provided on or before the date of expiration of said Letter of Credit.

4. The closing shall be held at such time and place and on such date as "United" may fix, provided same is held on or before the expiration date of said Letter of Credit. Notice of such closing shall be given by "United" at least 48 hours prior to the date fixed for same. Notwithstanding anything herein contained, if the Small Business Administration has not provided such amendments on or before the expiration date of said Letter of Credit and if "United" has not elected to close by notice in writing as herein provided without such approval, this Agreement shall at the expiration of said 60 day period be deemed terminated, null and void, and of no further force and effect, neither party shall have further obligations hereunder, and said Letter of Credit may expire by its terms. If, at closing, less than one hundred (100%) per cent of the issued and outstanding stock is accepted by "United", the price for such stock sale shall be the sum of Three Hundred Sixty-Two Thousand (\$362,000.00) Dollars divided by the number of shares authorized and issued. In addition, if all "Stockholders" of "Capital" have not subscribed this Agreement to "United", the latter may at its option forthwith terminate this Agreement, whereupon same shall be null and void and of no further force and effect.

5. At closing, against payment of the price of the stock to be purchased hereunder, the "Stockholders" shall deliver to "United" the following:

a) All books, records and documents pertaining to "Capital", including but not limited to Stock and Minute Books, tax returns, contracts, books of account and assets;

b) Resignations of officers and directors as requested by "United";

c) The stock to be purchased, duly endorsed with transfer tax stamps thereunto affixed as hereunto stated;

d) Such other papers and documents as may be required to effectuate the transfer herein.

6. The "Stockholders" warrant and represent that:

a) "Capital" is a state corporation, duly organized by and under the Small Business Act of 1958 as amended, is validly existing and in good standing under such laws, and has the power to own its property and carry on its business as a small business investment corporation;

b) "Capital" has duly complied with all of the laws, regulations, orders, and applicable directives or releases of the United States Government, and of any administration, department, and authority thereof, including the Small Business

Administration and of all states and any subdivisions thereof in which it is authorized to do business or is engaged in business.

c) Annexed hereto is Exhibit "B" constituting a statement of the financial condition of "Capital" as of the date therein set forth.

Said financial statement is true and correct, has been prepared in accordance with generally accepted accounting principals consistently applied, accurately and truly reflects the assets and liabilities and statement of operations of "Capital", and that since such period there has been no material adverse change therein, nor will there be any such change at or as of the closing date.

d) There are no contingent liabilities of whatsoever kind or nature, tax or otherwise of "Capital" except as set forth in the annexed Schedule "B";

e) The authorized capital stock of "Capital" consists of _____ shares, of which _____ are duly and validly issued and outstanding, fully paid and non-assessable. Same will be the sole issued and outstanding shares as of closing date and no shares are subject to issuance on account of any option, conversions, or other rights to purchase same.

AGREEMENT made as of the 21st day of September 1964 by and between UNITED NEW JERSEY INVESTMENT AND INDUSTRIAL CORP., a New Jersey corporation hereinafter referred to as "United", and [REDACTED] and such other stockholders of CAPITAL CORPORATION OF AMERICA, as subscribe to this Agreement and become a party herein, hereinafter collectively referred to as "Stockholders".

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WITNESSETH:

WHEREAS,

(A) CAPITAL CORPORATION OF AMERICA (hereinafter referred to as "Capital") is a small business investment corporation organized by and under the laws pertaining to such corporations and under the jurisdiction and control of the Small Business Administration; and

(B) "Capital" has engaged in no business whatsoever since its incorporation except as set forth in Schedule "A" hereto annexed; and

(C) The parties contemplate that "United" shall purchase and the "Stockholders" shall sell all of the issued and outstanding stock of "Capital" upon the terms herein set forth,

NOW, THEREFORE, it is agreed as follows:

1. "United" shall purchase and the "Stockholders" shall sell all of the issued and outstanding stock of "Capital" for an aggregate purchase price of Three Hundred Sixty-Two Thousand (\$362,000.00) Dollars payable at closing as herein

-cont'd.-

provided. "United" may at its option purchase less, but shall not be required to, without its prior written consent, than all of the said issued and outstanding stock.

2. On or before October 10, 1964 "United" shall cause to be issued by the Banker's Trust Company an irrevocable 60 day Letter of Credit in the sum of Three Hundred Sixty-Two Thousand (\$362,000.00) Dollar which shall provide for payment of said sum against delivery of all of the outstanding and issued shares of the capitol stock of "Capital", which shares the "Stockholders" warrant and represent to be the entire issued and outstanding shares of said corporation; said stock to be delivered free and clear in all respects, duly endorsed and transferred to "United", or its nominees, and with all necessary transfer stamps thereon duly affixed.

If closing is not had as herein provided within said 60 day period, said Letter of Credit shall expire by its terms.

3. The "Stockholders" shall cause "Capital" forthwith to prepare amendments to the licensing proposal of "Capital" for submission to and approval of the Small Business Administration, which amendments shall provide for such change in officers and directors of "Capital" as shall be required by "United" and such other amendments as may be required by "United" to effectuate the sale contemplated herein. The "Stockholders" shall fully cooperate in furnishing all information and documents necessary to the preparation of said amendments. If same are not provided by the Small Business Administration

f) "Capital" has not declared, and shall not declare or pay any dividend or declare or make any distribution, or authorize the creation or issuance of any stock, nor will it take any active action pertaining to reorganization, consolidation, merger, reclassification, change in capital structure, or in any respect engage in any business without the prior written consent of "United";

g) "Capital" has filed and submitted all necessary and appropriate tax returns and has paid all taxes as shown thereon. It has good and marketable title to the assets reflected in its balance sheet and none of same is subject to any encumbrance, lien, or charge of any kind or nature.

h) There are no contracts presently outstanding in which or to which "Capital" is a party and no legal actions, governmental investigations or other proceedings in which it is engaged or threatened.

i) "Stockholders" are the owners free and clear and unencumbered in all respects of all stock to be sold by them herein.

j) Each of the foregoing warranties and representations shall apply from the date hereof to the closing date and shall survive such closing.

7.

a) All notices shall be by registered or certified mail. Notices to the "Stockholders" shall be:

c/o [REDACTED]
Davies, Richberg, Tydings, Landa and Duff
1000 Vermont Avenue, N. W.
Washington 5, D. C.

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All notices to "United" shall be sent to:

[REDACTED]

b) The parties agree that the sole finder and broker herein is [REDACTED] to whom the "Stockholders" shall pay a commission of Ten Thousand (\$10,000.00) Dollars, if, as, and when title closing is had herein; and to whom no commission shall be payable if there is no title closing regardless of cause.

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c) No waiver hereunder shall be valid, unless in writing and any waiver so given shall be limited solely to the matter waived and shall not bind the parties so waiving on any other or future matter. This Agreement may not be cancelled, modified, altered, or amended in any respect unless subscribed by all of the parties hereto in writing.

d) The representations, warranties, and agreements made herein by the parties shall survive the closing hereunder.

c) This Agreement shall be binding upon
and inure to the benefit of the parties hereto
and their successors, representatives, and assigns.

IN WITNESS WHEREOF, the parties hereto have executed
this Agreement the day and year first above written.

UNITED NEW JERSEY INVESTMENT AND
INDUSTRIAL CORPORATION

By: _____

CAPITAL CORPORATION OF AMERICA

By: _____

APPROVED AND ACCEPTED

By: _____

THHJ

Robert B. Leloy
Assistant Deputy Administrator For Investment

OCT 23 1964

James Thomas Phelan
Director, Office of Compliance
Robert C. Dougan, Chief
Examinations Division
C. A. Levine, Examiner
Examinations Division

Meeting with [redacted] and [redacted] principals of Capital Corporation of America (04-0004) in re potential sale to the Crook-Piercen group

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On October 22, 1964, this examiner met with Messrs. [redacted] and [redacted] principals of Capital Corporation of America to ascertain any further efforts by the Crook-Piercen group to acquire additional licenses. There was very little new information that Messrs. [redacted] and [redacted] could add to what was already known but there was no question that the Crook-Piercen group had made a very definite play in their direction.

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From the interrogation, a number of names were brought to the surface which had been mentioned in previously contemplated acquisitions by the Crook-Piercen group. To name a few [redacted]

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[redacted]
[redacted]
Mr. Crook's name had never been mentioned. [redacted] and [redacted] indicated that they had heard that [redacted] had resigned as counsel for the purchasing group. Coincidentally, while this examiner was present, [redacted] received a phone call from [redacted] wherein the latter also indicated that he no longer represented the purchasing group.

During all the negotiations, the sellers never met with any of the principals of the buying group. All negotiations were carried on by phone and correspondence or through the broker [redacted]

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A fair assessment at this point would be the conclusion that the license has been sufficiently alerted to preclude an undue disposition of their license and corporate assets.

SKD:CALevine:mjt
10/23/64

BC:

THRU : Robert B. Leisy
Assistant Deputy Administrator for Investment
James Thomas Phelan, Director
Office of Compliance
Robert C. Downes, Chief
Examinations Division
Clarence A. Levine, Examiner
Examinations Division

OCT 22 1964

Interrogation of [redacted] (broker) in re-potential sale of Capital Corporation of America (04-0084) to the Crosby Pierson group.

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On October 20, 1964, this examiner met with [redacted] an investment broker residing in this area, whose name had been given to us as an agent for the Crosby Pierson group in the attempted acquisition of Capital Corporation of America, an inactive licensee in the metropolitan Washington area.

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[redacted] first became aware of an interest to buy an SBIC by parties hitherto unknown to him through a [redacted]

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[redacted] This bank was first identified in the attempted acquisition of Sun Capital Corporation, Pittsburgh, Pa. As a business broker, [redacted] then conducted a routine solicitation of SBIC's in the Washington area in the early summer of 1964 to determine if any were for sale. He received an affirmative response from Capital Corporation of America through a [redacted] General Counsel of the Licensee.

Following this there ensued a series of phone calls, correspondence and at least one meeting between the principals in this contemplated transaction. Ray E. Pierson's name and signature appear as president and chairman of the board of United Nations Financial Corporation. [redacted] name and signature appear as president of United New Jersey Investment and Industrial Corporation on a letter transmitting copies of the proposed agreement to purchase Licensee. Separately a copy of the financial statement of Wick Investing Corporation of Delaware was made available to the sellers for their information. Copies of the correspondence and proposed agreement are attached hereto. It is of more than passing interest to note that all corporate entities which represent the buyer are located at the same address, namely, Suite 3601, 40 Wall Street, New York 5, N. Y., and use the same telephone number, NA 5-2885.

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As can be seen from the correspondence and the proposed agreement, [redacted] acted solely as a broker in this situation. His commission was set at \$10,000 payable by the buyer if the SBIC acquisition is successful. [redacted] indicated that he had met Peter Crosby in Washington some 4 months ago but that to his recollection the frame of reference had nothing to do with small business investment companies. [redacted] also indicated that some negotiation in this attempted acquisition had been conducted with a [redacted] attorney representing the buyer. It appears that this is the same [redacted] who acted as a finder for the Crosby-Pierson group in the attempted acquisition of Sun Capital Corporation in Pittsburgh.

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As a footnote [redacted] and this writer have known each other for the last 8 years as the result of our mutual activity in the securities investment business. I believe that the story obtained from [redacted] is essentially an accurate one.

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* Attachments 6:

1. Ltr. 9/17/64 [redacted] to [redacted] transmission of copy of Proposed Agreement
2. Ltrs. 8/20/64, 8/23/64, 8/26/64 Between Pierson and [redacted] 9/15/64 and 9/23/64) in Re SBIC acquisition
3. Ltr. 9/9/64 [redacted] to [redacted] indicating "dry" interest in the SBIC
4. Ltr. 9/14/64 [redacted] to [redacted] in Re Terms of SBIC Sale
5. Ltr. 9/29/64 [redacted] to United National Financial Corp in Re Sale of SBIC
6. Business Card of [redacted]

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- * One complete set of these enclosures has been transmitted to the Federal Bureau of Investigation

SBID:CAlevine:mjr
10/22/64

cc:

2 - al & 1
1 - Grath
1 - Liaison
1 - Yellow
1 - Mr. Rose

REC-64
EX-117 46-51211-6

BY LIAISON

Date: November 5, 1964
To: Mr. James Thomas Phelan
Director
Office of Compliance
Small Business Administration
811 Vermont Avenue, N. W.
Washington, D. C.

From: John Edgar Hoover, Director

Subject: ROOSEVELT CAPITAL CORPORATION, A SMALL
BUSINESS INVESTMENT COMPANY LICENSED BY
THE SMALL BUSINESS ADMINISTRATION UNDER
THE SMALL BUSINESS INVESTMENT ACT OF
1958, AS AMENDED.
LICENSE NUMBER 02-0108

Nov 5 3 40 PM '64
REC'D-READING ROOM
FBI

Reference is made to your letter dated October 23, 1964,
in captioned matter.

Referenced letter states that

This will confirm your discussion of this matter with
Special Agent Bowen F. Rose of this Bureau on October 30, 1964.
As you were advised by Special Agent Rose, the Federal Bureau
of Investigation does not afford protection to persons in
situations of this type and it is suggested that your Office
discuss this matter with local police authorities.

With reference to the information in your letter
that a Stephen Brodie is on a first name basis with me, I
wish to inform you that this is not true.

- Tolson
- Belmont
- Mohr
- DeLoach
- Casper
- Callahan
- Conrad
- Evans
- Gale
- Rosen
- Sullivan
- Tavel
- Trotter
- Tele. Room
- Holmes
- Gandy

BFR, JME:mec
(6)

NOTE:

10-1-64

Case received 10/20/64 from Small Business Administration
(SBA) based on allegation Francis Peter Crosby and Raymond E.
Pierson obtained \$150,000 SBA loan for their controlled corporation

NOTE CONTINUED PAGE TWO

NOV 19 1964

TELETYPE UNIT

Mr. James Thomas Phelan

NOTE CONTINUED:

and siphoned off funds for their personal benefit. Investigation being conducted. Referenced SBA letter states

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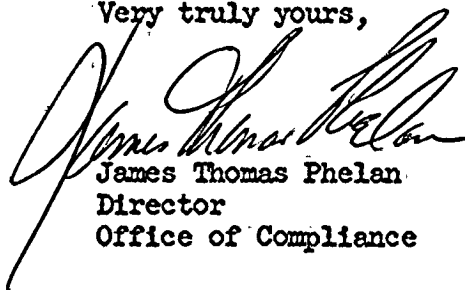
Review of Bufiles does not show Director is acquainted with Stephen Brodie or with John G. Broady, who is believed to be the person mentioned in SBA's letter. John G. Broady is a well-known private detective in New York City who was convicted 12/8/55 on a New York State charge of wire tapping (139-149). Reply to SBA has been coordinated with General Investigative Division.

Mr. Tolson _____
Mr. Belmont ☒ _____
Mr. Mohr _____
Mr. DeLoach _____
Mr. Casper _____
Mr. Callahan _____
Mr. Conrad _____
Mr. Evans _____
Mr. Gale _____
Mr. Rosen ☒ _____
Mr. Sullivan _____
Mr. Tavel _____
Mr. Trotter _____
Tele. Room _____
Miss Holmes _____
Miss Gandy _____



Should additional information be forth coming, we will forward same to you.

Very truly yours,

A handwritten signature in cursive script, appearing to read "James Thomas Phelan".

James Thomas Phelan
Director
Office of Compliance

11/13/64

1 - Mr. Lyles

Airtel

To: SAC, New York (46-6700)

From: Director, FBI

FRANCIS PETER CROSBY;
ET AL.
FAG

Reurairtel 10/30/64.

For your information the Criminal Division has advised that it does not feel that further investigation is desired at this time concerning possible criminal violations in captioned matter inasmuch as civil action is being considered by either NSA or Civil Division of the Department. The Department advises it is sending a letter to USA New York concerning its views in this matter.

Maintain close contact with USA and surep setting forth prosecutive determination in this matter.

CWL:ee
(4)

MAILED 8

NOV 12 1964

COMM-FBI

NOTE:

Advice from Department furnished telephonically 11/12/64, by Miss Doris Williamson to SA Charles W. Lyles.

0-1 NY, 12/10/64
rept sub'd 12/11/64
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REC-56

46-51211-7

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FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE 12/11/64	INVESTIGATIVE PERIOD 10/28 - 12/7/64
TITLE OF CASE FRANCIS PETER CROSBY; RAYMOND E. SPIERSON; ROOSEVELT CAPITAL CORP., GARDEN CITY, NY		REPORT MADE BY JOHN G. WILKINSON, JR.	TYPED BY mv1
		CHARACTER OF CASE FAG	

REFERENCE

Bureau airtels, 10/22/64; 11/3, 13/64.
NY airtel, 10/30/64.

ADMINISTRATIVE

NYO is presently conducting an AFA investigation regarding CROSBY's ability to pay a \$10,000 fine, which he received at SDNY, when sentenced in June, 1960, on Mail Fraud and Fraud By Wire violations in connection with the sales of over \$2,000,000 of unregistered oil stock. NY file in this matter is 93-2446.

On 11/6/64, Probation Officer LARRY RICHARDSON, NYC Probation Department, 100 Centre St., NYC, advised that CROSBY is presently on probation for a local charge which is to expire in the very near future. He said that he is familiar with CROSBY's activities in purchasing an SBA licensee and his association with PIERSON and Wick.

APPROVED <i>[Signature]</i>	SPECIAL AGENT IN CHARGE	DO NOT WRITE IN SPACES BELOW	
COPIES MADE 4- Bureau 1- USA, SDNY (ATT: S. KAUFMAN) 1- New York (46-6700)		46-11-8	REC.
DISSEMINATION RECORD OF ATTACHED REPORT		NOTATIONS	
AGENCY	1 SBA	cc TO Legation	
REQUEST RECD.	2 RAO	RR 6/18/93	
DATE FWD.	12/29/64	JUN 24 1993	
HOW FWD.		ANG 91 105-108	
BY		Re-Crosby	

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NY 46-6700

Investing Corp. of Delaware. He said he has contacted

[REDACTED]
[REDACTED] although he does not have sufficient evidence at this time for any probation violation charges. He said he would advise the FBI if he receives any information indicating a possible violation of Federal law.

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COVER PAGE

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UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to: 1- USA, SDNY (ATT: AUSA S. KAUFMAN)

Report of: JOHN G. WILKINSON, JR. Office: New York, New York
Date: 12/11/64

Field Office File No.: 46-6700 Bureau File No.:

Title: FRANCIS PETER CROSBY; RAYMOND E.
PIERSON; ROOSEVELT CAPITAL CORPORATION,
GARDEN CITY, NEW YORK

Character: FRAUD AGAINST THE GOVERNMENT

Synopsis:

Information received from the Small Business Administration (SBA), Washington, DC, that CROSBY and PIERSON purchased an SBA licensee, Roosevelt Capital Corp., with the purpose of obtaining use of government funds for their own purposes in violation of SBA regulations. Attempts made by subjects to purchase other SBA licensees, who received matching funds from US Government. SEC, NYC, reviewed transactions involving subjects; however, no SEC violation uncovered to date. Chief of Investment Division, SBA, NYC, interviewed. AUSA, SDNY, requested no additional investigation and declined prosecution as no evidence of any Federal violation of a criminal nature.

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DETAILS:

This investigation is predicated on a letter dated October 14, 1964, from JAMES THOMAS PHELAN, Director, Office of Compliance, Small Business Administration (SBA), Washington, DC, to the Federal Bureau of Investigation (FBI), Washington, DC, which contained information and copies of documents pertaining to the acquisition of an SBA licensee, Roosevelt Capital Corporation, Garden City, New York, by a New York City group, who appeared to have negotiated the sale with the purpose of obtaining the use of government funds for their own purposes, in violation of the regulations of SBA as well as the Small Business Administration Act of 1958.

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NY 46-6700

Additional information regarding this matter was contained in the letter and in substance is as follows:

Roosevelt Capital Corporation, license number 02 - 0108, was licensed on February 8, 1962, and in May, 1964, it was sold to a New York City group, composed of primarily CROSBY and PIERSON. This licensee received United States government funds amounting to \$150,000.

Information was developed by SBA that this same group attempted to purchase another licensee in Pittsburgh, Pennsylvania on October 9, 1964, this company being Sun Capital Corporation, license number 03 - 0054. This contemplated sale did not materialize partially because of prior notice given the owner of Sun Capital Corporation by SBA. Another licensee, New York Monetary Fund, license number 02 - 0223 was also approached by this group and an attempt was made to purchase their license.

Regarding Roosevelt Capital Corporation (RCC), the sale of this licensee became known on July 20, 1964, when R. J. CONNELLY, Chief, Investment Division, SBA, New York City, visited the offices of RCC at Garden City, New York, on a routine contact. It appears that shortly after PIERSON and CROSBY took control of RCC they negotiated a loan to be given to Precon Structures Division, for \$22,000 and never went through with this loan to the detriment and harm of [REDACTED] of this company.

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An examiner of SBA attempted to review the financial records of RCC and by letter dated August 24, 1964, RAY E. PIERSON, believed to be a principal member of the takeover group advised that the books and records of RCC were in the possession of [REDACTED] a New York attorney and [REDACTED] a New York accountant. The examiner's efforts to locate the books and records of RCC proved negative and had not been examined to date.

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NY 46-6700

SBA advised that the stockholders of Wick Investment Corporation of Delaware instituted suit against PIERSON, CROSBY and others in view of CROSBY and PIERSON's takeover of this corporation.

A review of copies of documents obtained by SBA during the course of its inquiry reveals an agreement made on April 28, 1964, between [redacted]

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and other stockholders of Roosevelt Capital Corporation in which it was agreed that [redacted] shall purchase and the stockholders sell all of the issued and outstanding stock of Roosevelt. Aggregate purchase price was listed as \$160,000. A copy of an agreement made on May 8, 1964, between [redacted] and RAY PIERSON, residing at 1181 North Tamarind Avenue, North Hollywood, California, was reviewed and on this date [redacted] agreed to assign all of his right, title and interest in and to [redacted], a contract dated April 28, 1964, in which [redacted] agrees to purchase the stock of Roosevelt Capital Corporation. In this agreement, PIERSON agrees to pay [redacted] as consideration for said assignment, the sum of \$10,000.

In June, 1964, Contractors Guild, Incorporated, a New York corporation, located at 40 Wall Street, New York City, agreed to sell all of the issued and outstanding stock of Roosevelt Capital Corporation, a small business investment corporation, to Wick Investing Corporation of Delaware, a Delaware Corporation with principal offices at 10 East 40th Street, New York City.

A review of a memo from SBA examiner C. A. LEVINE, to the Director, Office of Compliance, SBA, Washington, DC, dated August 31, 1964, reveals that on that date, LEVINE visited the Office of [redacted]

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[redacted] who is the former legal counsel of the original licensee of Roosevelt Capital Corporation. [redacted] made

NY 46-6700

available to SBA his file and a review of same by SBA examiner LEVINE revealed a debit advice from the First National City Bank, dated May 28, 1964, addressed to Roosevelt Capital Corporation which revealed that the bank debited RCC's account at the bank for cashiers check NT 14018, payable to [redacted] Rhoades and Company, in payment of one thousand shares of Texas Gulf Sulphur stock in accordance with instructions received from Mr. RAY PIERSON, Vice President. This amounted to \$58,648.20. Other correspondence was located from [redacted] to the buyers requesting them to supply the names of the new officers and directors of the licensee so that he could prepare the necessary papers to SBA in Washington for approval of this transaction. The examiner commented that despite this non-approval by SBA to date, the new management of the licensee, consisting of PIERSON, CROSBY and others made a series of loans and/or investments. It appears that most of the money used for these loans and investments was United States government money, which had been originally loaned to the first owners of Roosevelt Capital Corporation. It was determined that some of the loans disbursed by RCC were to companies in which PIERSON and CROSBY had financial interests..

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A review of an affidavit, dated September 28, 1964, submitted to the Supreme Court of the State of New York, County of New York, reveals that the minority stockholders of Wick Investing Corporation of Delaware filed suit against PETER FRANCIS CROSBY, RAYMOND E. PIERSON and others, alleging that the assets and operations of the corporation were being mismanaged.

A letter dated September 21, 1964, signed RAYMOND E. PIERSON, Vice President, Roosevelt Capital Corporation, 40 Wall Street, New York City, addressed to the SBA, Washington, DC, reveals that PIERSON offers to repay the \$150,000 of 302 funds, now owing the SBA plus all accrued

NY 46-6700

interest. PIERSON said that repayment will take place during the month of October, 1964, and he estimated that between October 12, - 22, 1964, he would tender a cashiers check for the aforesaid sum. He requested that SBA advise him as to the amount of interest which would be owed up to October 22, 1964.

On October 28, 1964, the facts of this matter were discussed with Assistant United States Attorney (AUSA) STEPHEN KAUFMAN, Southern District of New York (SDNY), who advised that he does not see any obvious Federal violation based on available information. AUSA KAUFMAN determined that the Security and Exchange Commission (SEC), New York City, was conducting a similar investigation of PIERSON's and CROSBY's financial transactions and requested that they be contacted to determine the extent of their investigation. On that same date, the extent of the SEC investigation regarding PIERSON and CROSBY was discussed with AUSA KAUFMAN who advised that before rendering a final prosecutive opinion he desired the procedural regulations of SBA regarding loans to SBA licensees be obtained to determine if any false statements are involved in this matter; however, he noted that, no doubt, the original owners of Roosevelt Capital Corporation contracted with the SBA in this regard, and they, perhaps, are possibly in violation for not returning United States government funds when they sold their interests to another group, which appears to be in violation of SBA regulations.

On October 29, 1964, the facts of this matter were rediscussed with AUSA KAUFMAN, who advised that it appears that SHAPIRO was possibly in violation with his agreement with SBA when he sold RCC to PIERSON and CROSBY.

NY 46-6700

He noted that no false statements have been filed with SBA by the subjects and it would appear that if PIERSON has not already refunded the \$150,000 with interest, SBA's recourse would be against SHAPIRO with no possible loss to the government. He advised that although it appears subjects have attempted to purchase other SBA licensees, the primary responsibility rests on the licensees, who have agreed not to sell their interests without prior approval of SBA. He stated that based on available information there appears to be no obvious Federal violation within the primary jurisdiction of the FBI and this appears to be of an administrative nature, with appropriate action being taken by SBA to protect the government's interest. He requested no additional investigation be conducted and said he would decline prosecution as he does not feel this case has any prosecutive merit.

By letter dated October 23, 1964, JAMES PHELAN, SBA, Washington, DC, furnished information that PIERSON and CROSBY had made contact with a [redacted]

[redacted] in an effort to purchase an other SBA licensee. Additional information was furnished to the effect that PIERSON and CROSBY's attempts to purchase the New York Monetary Fund, an SBA licensee, was blocked by the attorney for the licensee, whose name is [redacted]

Copies of pertinent documents regarding this matter were furnished by SBA.

On November 6, 1964, copies of these documents furnished by SBA with their letter dated October 23, 1964, were furnished to AUSA KAUFMAN for his review. On November 11, 13, 1964, AUSA KAUFMAN advised that he had not completed his review of these additional documents to date.

NY 46-6700

On December 7, 1964, AUSA KAUFMAN advised that after reviewing this matter he feels no additional investigation is warranted and he would decline prosecution of the subjects as there is no evidence of criminal violations of Federal law which have prosecutive merit.

FEDERAL BUREAU OF INVESTIGATION

11/5/64

Date

DAVID MARCUS, Chief, Special Enforcement Group, Securities and Exchange Commission (SEC), 225 Broadway, New York City, in conjunction with RICHARD BURKE, Investigator, advised that their office is looking into the current financial transactions of Francis Peter Crosby in view of his conviction in 1960 for the illegal manipulation of stock for which he received a jail sentence and fine. He stated that CROSBY was paroled in about October, 1963, and his parole officer is MATTHEW J. TERRIZZI.

MARCUS stated that SEC began its inquiry in about July, 1964, when a suit was entered in the Supreme Court of the State of New York, County of New York, by the minority stockholders of Wick Investing Corporation of Delaware (Wick), against CROSBY, RAY E. PIERSON, United Nations Financial Corp., and others. According to MARCUS, Wick is a real estate holding company which owns among other things the Motel on the Mountain, near Suffern, New York. He said [redacted] formerly owned the controlling interest in Wick, and sold this interest to United Nations Financial Corp., a New Jersey Corporation, in which PIERSON and CROSBY have an interest. Around this same time, Roosevelt Capital Corp. (RCC) was purchased by CROSBY and PIERSON and RCC is now a part of Wick. Investigation reveals \$50,000 was lent by RCC to United Nations Financial Corp., which gave it to Block as the first installment on the purchase price for his controlling interest.

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According to MARCUS, PIERSON is now the President and Chairman of the Board of Wick and the minority stockholders have instituted suit because of the way CROSBY and PIERSON acquired control of the corporation, and the manner in which they are now operating it.

Because of these transactions, SEC interviewed CROSBY in their office about a week ago and he was vague in many of his answers. He indicated that because he was on parole he had to be careful in his financial

On 10/28/64 at New York, New York File # NY 46-6700

by SA JOHN G. WILKINSON, JR. (A):bxb Date dictated 11/2/64

NY 46-6700

dealings. CROSBY stated he was unable to recall how RCC was acquired and in general furnished no specific information. MARCUS said CROSBY indicated he was a consultant to Wick and MARCUS noted that CROSBY's name is not specifically connected with any of these corporations although there is no question that he has some interest in them.

He said SEC attempted to interview PIERSON, who is supposedly in Texas, however, he has not responded to date.

Wick, RCC and other related companies occupy space at 40 Wall Street and the offices were rented by Contractors Guild, with JOSEPH CALESE, signing pertinent papers. The guarantor was Roosevelt Capital Corp. Wick is supposedly trying to move its offices to Houston, Texas, and according to MARCUS PIERSON is now supposedly in that area.

MARCUS stated that CROSBY allegedly resides at 236 East 36th Street, New York City, and supposedly independently wealthy.

He said that the local office of the Small Business Administration (SBA) contacted their office regarding CROSBY and they are therefore familiar with RCC's role as an SBA licensee.

MARCUS stated that their role is more preventative than anything else because their investigation to date has revealed no violations of SEC regulations.

He said he would keep the FBI advised of pertinent developments.

FEDERAL BUREAU OF INVESTIGATION

11/9/64

Date

R.J. CONNOLLY, Chief, Investment Division, the Small Business Administration (SBA), 42 Broadway, New York City, advised that in August, 1958, the Small Business Investment Act was set up to grant licenses to private investors, who have their own funds, with the purpose of their lending money to small businesses to stimulate the economy of the United States. He said that the United States Government matches the money put up by the group of investors and the minimum amount which the private investors need is \$150,000.

He said that once the private investors have the \$150,000 they make application to the SBA for a like amount of money. If the group of investors' application is approved, the United States Government lends matching funds to the group, who in turn can lend money to small business or invest the money in small business, according to SBA regulations. He said the money can be used by the group for following expenses:

1. Long term loans (for five years) to small businesses
2. Actual investment in small companies not controlled by the group of investors.
3. Render technical, advisory and consulting services to small businessmen.

He said that this money can be invested by the group as they see fit and need no authorization from SBA, but they must comply with the rules and regulations pertaining to loans set up by SBA.

He said that after SBA approves the group's application, a license is sent from Washington, D.C. office of SBA to the group, who post this in their office. The group is subject to financial examination by SBA and they must abide by the regulations of SBA, which among other things,

On 10/29-11/3/64 at New York, New York File# NY 46-6700

by SA JOHN G. WILKINSON, JR.:bxb Date dictated 11/9/64

NY 46-6700

includes the provision that if the license is to be transferred to another group, prior approval must be obtained from SBA. He said that the groups submit financial reports to SBA on March 30 and September 30, of each year, although he noted that the groups have three months from this date in which to submit the reports.

According to CONNELLY, the Roosevelt Capital Corporation (RCC), 600 Old Country Road, Garden City, New York, one of the approximately 150 SBA licensees in the greater New York area, received license number 02-0106 on February 8, 1962, and this group was composed of the following individuals:

CHARLES SHAPIRO, President
600 Old Country Road
Garden City, New York
Date of Birth - July 20, 1907
Residence in 1961 - Breamore Drive,
Sands Point, New York

ALEXANDER ELIYAN
Address in 1961 - 334 West 58th Avenue
Freeport, New York
Date of Birth - December 25, 1913
at New York City



CONNELLY advised that in July, 1964, he went to the offices of RCC, located in the Franklin National Bank Building, Garden City, New York, and contacted SHAPIRO on a routine inspection. At this time SHAPIRO told him

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NY 46-6700

that RCC had been sold to another group in April or May, 1964, and this had been done with the sanction and approval of SBA, Washington, D.C. He said that he was advised RCC was sold to RAY PIERSON, who has offices at 40 Wall Street, New York City. He said that inasmuch as he had not been advised of this transfer of the license, he went back to his office and after reviewing his file failed to locate any correspondence from Washington, D.C., which indicated this transfer had been approved. He said subsequent contact with SBA, Washington, D.C., determined that they had not approved this transfer and there was no application on file for the transfer, in violation of SBA regulations.

CONNOLLY said that he and an examiner from Washington, subsequently contacted PIERSON. PIERSON referred this whole matter to his attorney, [redacted] the attorney for PIERSON and the group of new investors.

He said that [redacted] gave them no satisfaction and the records of RCC were never made available for review.

He said that it appears RCC is now owned by the Wick Investing Corporation of Delaware (Wick), a real estate holding company, which among other things owns the Motel on the Mountain, Suffern, New York. He said that PIERSON is the President and apparently head of the Board of Directors of this corporation and there is a suit pending in the Supreme Court of the State of New York, County of New York, which was instituted by the minority stockholders of Wick. He said the suit involves the minority stockholders' allegation that PIERSON and FRANCIS PETER CROSEY have taken illegal control of the corporation and are not operating the corporation in the best interests of the stockholders. He said that CROSEY

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NY 46-6700

was convicted of a stock fraud in 1960 and PIERSON is a former Hollywood producer, who has financial interests in several small corporations. He said that information was developed by SBA that no sooner had PIERSON and CROSBY purchased the assets of MCC, which included \$150,000 of United States Government funds, when they made loans to several corporations owned by PIERSON and CROSBY in violation of SBA regulations. He noted, however, that there is no information which would indicate CROSBY and PIERSON were aware of the fact that Washington had not approved the transfer of the MCC license to them and it is possible that PIERSON and CROSBY were told by SHAPIRO that SBA had in fact approved the transfer.

He said that in September, 1964, when CROSBY and PIERSON learned that this transfer of the MCC license had not been approved, by Washington, PIERSON directed a letter to SBA offering to repay the \$150,000 of government funds, however, CONNELLY does not know whether this offer was accepted.

He noted that the majority stock of Wick now controlled by PIERSON and CROSBY, was formerly owned by [REDACTED]

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CONNELLY noted that although, MCC, under the direction of PIERSON and CROSBY, lent money to their own corporations in violation of SBA regulations, they could have applied to SBA, Washington, D.C., for approval of this transaction, and there have been cases in the past where such approval has been granted.

He said that to his knowledge, CROSBY and PIERSON and/or Wick have filed no documents or statements with SBA, since they purchased the license from SHAPIRO and therefore he knows of no false statements made by them to the United States government in this regard.

NY 46-8700

He said that it appears that CROSEN and PIERSON set themselves out as SBA licensees and display the SBA license in the RSC office at 40 Wall Street, New York, New York. He added that this group has attempted to purchase other SBA licensees in New York and Pittsburgh, although they apparently have been unsuccessful.

CONNOLLY stated that it appears SBA has recourse against SHAPIRO for the \$150,000, as the original agreement between SBA and SHAPIRO stipulated the license should not be transferred without prior approval of SBA, Washington.

He said that it would appear SHAPIRO has violated administrative regulations of SBA and although CROSEN and PIERSON have attempted to purchase other SBA licensees, primary responsibility is with the original licensee, who should obtain prior approval of SBA, Washington, before transferring their license.

He said he would keep the FBI advised of any other pertinent developments in this matter.

HJM:DRW:tms
105-51-73

December 11 1964

JE 3-1
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Mr. Robert M. Morgenthau
United States Attorney
New York, New York

Attention: Mr. Stephen E. Kaufman
Assistant United States Attorney

Re: Francis Peter Crosby;
Raymond E. Pierson;
Roosevelt Capital Corporation

Dear Mr. Morgenthau:

We have received a copy of an FBI letterhead memorandum dated October 30, 1964, in which it is stated that you are of the view that the investigation of the above-designated matter has disclosed no Federal violation within the jurisdiction of the Bureau.

We agree with your conclusion. However, civil action is to be initiated against Roosevelt Capital Corporation to obtain an injunction and appointment of a receiver. It may be that, in the course of these proceedings, information pertaining to the criminal aspects will be obtained. It is suggested that further FBI investigation be postponed until we see the developments in the civil action.

Sincerely,

HERBERT J. MILLER, JR.
Assistant Attorney General
Criminal Division

NATHANIEL E. KOSSACK
Chief, Fraud Section

cc: DIRECTOR
FEDERAL BUREAU OF INVESTIGATION

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DEC 11 2 35 PM '64

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Date: 2/1/65

PLAIN TEXT

Transmit the following in _____
(Type in plain text or code)

Via AIRTEL

(Priority)

TO: DIRECTOR, FBI

FROM: SAC, NEW YORK (46-6700) (P)

SUBJECT: FRANCIS PETER CROSBY; RAYMOND E.
PIERSON; ROOSEVELT CAPITAL CORP.,
GARDEN CITY, N.Y.
FAG12/11/64, Rerep of SA JOHN G. WILKINSON, JR., at N.Y.,
closing this matter.For information of the Bureau, AUSA ALAN BLUMBERG,
Civil Division, SDNY, has instituted civil proceedings
in the above captioned matter based on a letter received
from the Department of Justice.On 1/29/65, NYO received information that [redacted]
[redacted] Trans-World Theatricals, Inc., NYC, had dealings with
CROSBY which possibly constitutes a violation of federal
criminal law.On 1/30/65, [redacted] furnished a signed sworn
statement in which he advises he obtained a \$60,000 loan
from RCC, in May, 1964, and on the day he received this
money he had to give CROSBY and PIERSON a \$44,000 loan, which
money came from the proceeds of the \$60,000 loan they had
just received. They were supposed to repay this money in a
couple of days, however, to date, [redacted] has received no
part of this money.The facts of this case were discussed with AUSA
STEPHEN E. KAUFMAN, SDNY, on 2/1/65, and he is withholding
prosecutive opinion, pending receipt of a report, reflecting
this new information. Report will be promptly submitted,
and NYO has reopened this case.3- Bureau
New York (46-6700)

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JCH:jmr

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Approved: JCH

58 FEB 5 1965

Special Agent in Charge

Sent

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FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE 2/4/65	INVESTIGATIVE PERIOD 1/29-2/3/65
TITLE OF CASE FRANCIS PETER CROSBY; RAYMOND E. PIERSON; ROOSEVELT CAPITAL CORP., GARDEN CITY, N.Y.		REPORT MADE BY JOHN G. WILKINSON, JR.	TYPED BY jmr
		CHARACTER OF CASE FAG	Photo Ref. Born REQ. REC'D 3/14/91 APR 25 1991

REFERENCES:

Report of SA JOHN G. WILKINSON, JR., at New York
dated 12/11/64.³
New York airtel dated 2/1/65.¹⁰

ADMINISTRATIVE

else a signed statement only witnessed by one person as no one
LEAD available.

NEW YORK

At New York, New York

Will obtain prosecutive opinion.

APPROVED <i>[Signature]</i>	SPECIAL AGENT IN CHARGE	DO NOT WRITE IN SPACES BELOW	
COPIES MADE: ④ Bureau 1- USA, SDNY (ATT: AUSA S. KAUFMAN) 1- USA, SDNY (ATT: AUSA A. BLUMBERG) 2- New York (46-6700)		46-51211-11	REC-64
		21 FEB 5 1965	
DISSEMINATION RECORD OF ATTACHED REPORT		NOTATIONS	
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HOW FWD.			
BY	2/15/65		

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FEB 16 1965

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to: 1- USA, SDNY (ATT: AUSA S. KAUFMAN)
1- USA, SDNY (ATT: AUSA A. BLUMBERG)

Report of: JOHN G. WILKINSON, JR. Office: New York, New York
Date: 2/4/65

Field Office File No.: 46-6700 Bureau File No.:

Title: FRANCIS PETER CROSBY;
RAYMOND E. PIERSON;
ROOSEVELT CAPITAL CORPORATION,
GARDEN CITY, NEW YORK

Character: FRAUD AGAINST THE GOVERNMENT

Synopsis:

[redacted] Trans-World Theatricals, NYC, received \$60,000 loan from [redacted] Roosevelt Capital Corp., (RCC), in May, 1964. When loan received, [redacted] had to loan PIERSON and CROSBY \$44,000 of this money which has never been repaid. [redacted] unaware RCC an SBIC or Government funds involved. AUSA, SDNY, withholding prosecutive opinion.

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DETAILS:

On January 29, 1965, Assistant United States Attorney (AUSA) ALAN BLUMBERG, Civil Division, Southern District of New York (SDNY), advised that he had received information from the Attorney General's Office of the State of New York, New York City, that [redacted] had a financial transaction with PETER FRANCIS CROSBY and RAY PIERSON, which might be of interest to the United States Government. He said that civil proceedings have been instituted against CROSBY and PIERSON regarding their takeover of Roosevelt Capital Corporation and [redacted] information may have some bearing

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NY 46-6700

on the civil or criminal aspects of this matter. On January 29, and February 1, 1965, the results of [redacted] interview, were discussed with AUSA BLUMBERG.

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On February 1 and 3, 1965, the facts of this case and results of [redacted]'s interview, were discussed with AUSA STEPHEN KAUFMAN, Criminal Division, SDNY, who advised he would withhold a prosecutive opinion pending a review of a report in this matter.

FEDERAL BUREAU OF INVESTIGATION

Date 2/1/65

[redacted]
[redacted]
[redacted] was interviewed under oath on January 29-30, 1965 and at the outset of each interview, he was advised that he did not have to make a statement, any statement he did make could be used against him in a court of law, and that he had the right to consult with an attorney prior to making any statement.

On January 30, 1965, [redacted] furnished the following voluntary signed sworn statement:

"New York, New York
January 30, 1965

[redacted] being duly sworn, make the following signed sworn statement to John G. Wilkinson, Jr., who has identified himself to me as a Special Agent of the Federal Bureau of Investigation. I have been advised I do not have to make a statement and any statement I do make can be used against me in a court of law. I have also been advised of my right to an attorney before making any statement.

[redacted]
"In April, 1964, possibly April 16, 17, 1964, I was at the Plaza Hotel, New York City, and was introduced to [redacted]. During our conversation, [redacted] found out that I had an interest in a motion picture and theatrical producing company, Trans-World Theatricals, Inc., which had been formed in New York sometime in 1963.

On 1/29-30/65 at New York City File # NY 46-6700
by SA JOHN G. WILKINSON, JR./ama Date dictated 2/1/65

NY 45-6700

[REDACTED]

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"During this conversation with [REDACTED] he said he had an underwriting company on Wall Street which would be interested in providing financial support to Trans-World Theatricals, Inc. in their productions. [REDACTED] said he would contact me.

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"On the following day, [REDACTED] called me and said he was coming to see me and would bring a friend. [REDACTED] & Peter Francis Crosby III came to our office at 200 W. 57th St., New York City, and we discussed the financing of Trans-World Theatricals, Inc. productions. [REDACTED] Crosby said that they would like to underwrite a \$240,000 loan. On April 29, 1964, Trans-World Theatricals signed an agreement with [REDACTED] in which [REDACTED] states that he has contracted for an interest in Roosevelt Capital Corporation and intends to acquire an interest in 3 additional small business investment corporations. Upon his acquisition of an interest in the 4 corporations, he will lend \$60,000 from each of the corporations, interest being 9%. The agreement also states that when the \$240,000 has been lent, 50% of Trans-World's stock will be owned by the 4 corporations.

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"Crosby commented that Ray Pierson was being brought in from the West Coast as Pierson was familiar with the motion picture industry.

"Subsequent to the signing of this agreement, there were various meetings in our office and also at 40 Wall Street, New York City, where Crosby, [REDACTED] Pierson had an office. Vincent Calissi is another individual connected with this group and was at Crosby's office on occasion.

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NY 46-6700

"On May 14, 1964, Pierson called me and said he had the first \$60,000. He asked that my partners and I meet him at the Franklin National Bank in lower Manhattan. Upon our arrival at the bank, we were met by Ray Pierson, Peter Crosby & Vincent Calissi although Crosby and Calissi subsequently left. The bank cards & corporation certificate had already been prepared and we signed the cards to open an account at the bank.

"Pierson said he had a certified check for \$60,000 and pulled a check out of his pocket although he didn't give it to me.

"Pierson then said that Contractors Guild, a subsidiary of Roosevelt Capital Corp. needs a \$44,000 loan. He asked that of the \$60,000 he was giving Trans-World, \$44,000 be lent to Contractors Guild for only a couple of days.

"I was hesitant at first but finally agreed as I had no reason to distrust them and they were lending Trans-World the money. I also knew that I wouldn't need all of the \$60,000 immediately. The \$60,000 check was deposited to Trans-World's account and on May 15, 1964, I issued check 102, payable to Contractors Guild for \$44,000. Crosby & Pierson gave me a \$60,000 demand note to sign, witnessed by [redacted] I then asked for a note from Crosby & Pierson for the \$44,000 loan I had just made to them. They hadn't offered one and I had to ask for it. I was given a non-interest bearing note for \$44,000 by Pierson & Crosby, payable on demand.

"I was told by Pierson & Crosby that if I didn't give them the \$44,000 loan I wouldn't get the \$60,000.

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NY 46-6700

"Several days went by and I didn't hear from Crosby or Pierson. I contacted them on several occasions and they promised to repay the \$44,000 on a certain day but the money was never given to me.

[redacted]
[redacted] and on June 4, Trans-World closed down.

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"In August or September, 1964, I asked Crosby & Pierson for some money, as they still owed the \$44,000. Crosby sent by messenger a check for \$1000, drawn on Wick Investing Corp. of Delaware and I cashed it only to find later that it had "bounced". This check is now held by the 1st National City Bank, Park Avenue and I am repaying the bank the \$1000.

"I knew Crosby & Pierson had an interest in Wick but I didn't know Roosevelt Capital Corp was a Small Business Investment Corp. (SBIC) or that Roosevelt Capital had U.S. Government funds.

"I never signed any loan application for Roosevelt Capital and only signed the agreement and the note.

"I have had no contact with Crosby & Pierson recently and I have not received any of the \$44,000 which they 'borrowed'. My attorney has advised me that I may have to pay taxes on the full \$60,000.

"Because of not receiving this money, my company is now in financial ruin.

"I have read this statement of eight pages and it is true and correct to the best of my knowledge. I have initialed each page and correction.

"/s/ [redacted]

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"Sworn to and subscribed before me on January 30, 1965, at New York City.

John G. Wilkinson, Jr., Special Agent, FBI, NY

"Witnessed:

John G. Wilkinson, Jr., Special Agent, FBI, NY."

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NY 46-6700

[redacted] advised that the names and addresses of the other officers are as follows:

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He advised that any two officers of the corporation could sign bank checks.

He also advised that when he was at the District Attorney's Office, New York City, recently, he was shown a photograph of [redacted] and after reviewing same, he recalled that his two partners had met [redacted] and he was somehow connected with PIERSON and CROSBY. He added that Mr. PHILIPS, assigned to the District Attorney's Office and Detective CRONIN spoke to him concerning his dealings with CROSBY, PIERSON and Wick Investing Corporation.

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[redacted] also commented that when he arrived at the Franklin National Bank to receive the first \$60,000, the various bank documents needed to open an account had already been prepared and [redacted] is the officer who handled the new account. He added that [redacted] was also present when [redacted] executed the \$60,000 note for CROSBY and PIERSON and was also present when CROSBY and PIERSON gave [redacted] the \$44,000 note.

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He advised that recently his attorney, [redacted] told him that there had been an article in the newspaper regarding CROSBY and he told [redacted] that he would probably be contacted by the authorities regarding his dealings with CROSBY and PIERSON. Approximately three weeks ago, Detective CRONIN of the District Attorney's Office, contacted him regarding his transaction with these individuals.

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NY 46-6700

He said that CROSBY makes a nice appearance and was driven in a chauffeured limousine and because of this and the fact they had a Wall Street address, he had no doubts regarding their integrity.



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[redacted] made available voluntarily the following documents:

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1. Agreement between [redacted] and [redacted] dated April 29, 1964.
2. Franklin National Bank signature card.
3. Letter from [redacted] to CROSBY and [redacted] dated May 5, 1964, relative to the financing of [redacted]
4. Bank signature card for the Broadway National Bank, dated May 11, 1964.
5. Letter from [redacted] to CROSBY, dated April 29, 1964, enclosing a copy of the agreement between [redacted] and [redacted]
6. Franklin National Bank deposit slip, dated May 15, 1964 reflecting a \$60,000 deposit to the account of Trans-World Theatricals, Incorporated.
7. Corporation certificate for the Broadway National Bank, Bayone, New Jersey, dated May 11, 1964.
8. Copy of check number 1939, drawn on Wick Investing Corporation of Delaware, 10 East 44th Street, New York, dated October 13, 1964 for \$1,000, payable to [redacted] which subsequently "bounced".

7.
NY 46-6700

9. Letter from CROSBY and [redacted] United Film World, dated September 18, 1964 to [redacted] in which CROSBY and NICHOLS agreed to purchase an option to all dramatic rights concerning a novel called "Molokai" for \$25,000.

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He stated that his attorney, [redacted] has the \$44,000 cancelled check by which CROSBY and PIERSON were lent \$44,000 and he also has other pertinent documents such as the note signed by CROSBY and PIERSON for this amount.

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[redacted] stated that the agreement between [redacted] and himself, dated April 29, 1964, a copy of which was made available, is as follows:

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"April 29, 1964

"Trans World Theatricals, Inc.
200 West 57th Street
New York, New York

"Attention:



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"Gentlemen:

"This will confirm the fact that we have been under discussion and propose to enter an agreement pursuant to which

"1. I intend to acquire an interest in four small business investment corporations during the ensuing 120 day period, having already contracted for the first of these, viz., Roosevelt Capital Corporation on April 28, 1964, closing of title to which is anticipated to be at within two weeks from date.

"2. Upon my acquisition of such interest in each of said four Corporations, I will cause to be loaned to you by such Corporations the sum of sixty Thousand (\$60,000) Dollars, each repayable within five years in agreed installments and subject in any event to the rules and regulations of the Small Business Administration and to the existing financing proposal of each Corporation when acquired. Each of said loans shall bear interest at the rate of nine (9%) percent per annum, and as further consideration for same you shall transfer to each said Corporation stock or other interests constituting twelve

9.

NY 46-6700

and one-half (12½%) percent of your issued and outstanding stock of all classes of your interest in any and all subsidiaries or affiliates, limited partnerships or other ventures to the end that upon making the aggregate loans of \$240,000 the said four Corporations shall in the aggregate own and control fifty (50%) percent interest in your Corporation and in all your ventures and properties.

"3. Pending the making of the aggregate loans aforementioned, you will cause to be deposited with the law firm of Fisher, Okin, Gleiberman & Ezrine, 30 Broad Street, New York City, attorneys for the undersigned, upon the making of the first loan by the Roosevelt Capital Corporation the aforementioned 50% interests, with authorization to release 12½% or viz. 1/4 of the escrow deposit for each said \$60,000 loan, all voting rights, however, in said 50% interests shall, commencing with the date of deposit, nevertheless be vested in the undersigned, his assignee or nominee.

"4. Pending the making of the first loan contemplated within the ensuing two weeks and the deposit of said 50% interest in escrow, you agree that no action will be taken by you or any subsidiary or affiliate or venture in which you have at least a 50% interest or any kind or nature, no contact will be made, no recapitalization, merger, consolidation or change in certificate of incorporation or by-laws in effect, no defaults will be permitted in pending contracts and no changes therein will be made without the prior written consent of the undersigned.

"5. You confirm to me that there is no outstanding litigation to which you are a party, that your financial condition is that set forth in balance sheets heretofore furnished, which have been prepared in accordance with generally accepted accounting principles consistently applied, and that there has been no material adverse change

10.

NY 46-6700

since the date of such balance sheets. This letter constitutes a statement of the intent of the parties to be formalized by more appropriate and extensive documents to be prepared in a form satisfactory to counsel for both parties. It is recognized that the making of a formal agreement is subject to the fact that there will not be an adverse event materially affecting the conduct of your business prior to the closing provided for herein and that you have in all respects duly applied with all of the laws or rules and regulations of all government authorities in jurisdictions in which you have conducted and are now conducting business.

"6. Upon our execution of formal instruments, you will refund to the undersigned the sum of Four Thousand (\$4000) heretofore advanced by the undersigned as loan to you. Notwithstanding anything herein contained, you recognize that counsel of the undersigned may request and require such additional representations and warranties as may be reasonably deemed by them necessary to protect the undersigned's interests and to assure that adequate provision is afforded to the undersigned for the acquisition by the aforementioned four Corporations in your Company.

"7. Any subscription hereto by you and your stockholders shall constitute their and your assent to same. Upon making the first loan an escrow deposit provision shall be made for the election of such officers as I may reasonably request, and for the election of such members of your Board as will assure to me at least joint control of your business and operations. It is contemplated that at least three members of the Board will represent your present stockholder group, three will represent the undersigned and his Corporations and a seventh will be [redacted] whom the parties feel, although counsel for the undersigned, will nevertheless, as a Director, act independently.

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"CONFIRMED AND AGREED:

Very truly yours,

[redacted]

"/s/

[redacted]

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NY 46-6700

[redacted] said he would keep the FBI advised
of pertinent developments.

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FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE 3/16/65	INVESTIGATIVE PERIOD 2/18 - 3/5/65
TITLE OF CASE FRANCIS PETER CROSBY; ET AL		REPORT MADE BY JOHN G. WILKINSON, Jr.	TYPED BY etm
		CHARACTER OF CASE FAG	

REFERENCE:

Report of SA JOHN G. WILKINSON, Jr., NY, 2/4/65.

- P -

LEADNEW YORK

AT NEW YORK, NEW YORK. Will obtain prosecutive opinion.

APPROVED <i>[Signature]</i>	SPECIAL AGENT IN CHARGE	DO NOT WRITE IN SPACES BELOW	
COPIES MADE: (4) Bureau 1- USA, SDNY (ATT: AUSA B.W. NUSSBAUM) 1- USA, SDNY (ATT: AUSA A. BLUMBERG) 2- New York (46-6700)		46-51-11-12	REG-32
		12 MAR 18 1965	EX-114
DISSEMINATION RECORD OF ATTACHED REPORT		NOTATIONS STAT. SECT.	
AGENCY	1cc SBA, 2cc RAO		
REQUEST RECD.			
DATE FWD.			
HOW FWD.	WP: 4/		
BY	3/29/65		

77 MAR 30 1965

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to: 1- USA, SDNY (ATT: AUSA B.W. NUSSEBAUM
1- USA, SDNY (ATT: AUSA A. BLUMBERG)

Report of: JOHN G. WILKINSON, Jr. Office: New York, New York
Date: 3/16/65

Field Office File #: 46-6700 Bureau File #:

Title: FRANCIS PETER CROSBY;
ETAL

Character: FRAUD AGAINST THE GOVERNMENT

Synopsis: [redacted] Attorney, NYC, made available copy of \$44,000.00 note given to [redacted] by PIERSON, and another document. AUSA, SDNY, advised he is reviewing matter for possible criminal prosecution. Information received CROSBY's Federal parole revoked.

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DETAILS:

On February 18; March 5, 1965, Assistant United States Attorney (AUSA) B.W. NUSSEBAUM, Southern District of New York (SDNY), advised that he is reviewing this matter for possible criminal prosecution and he is aware of the civil proceedings involving these same individuals which are being handled by AUSA ALAN BLUMBERG, Civil Division, SDNY.

NY 46-6700

On March 3, 1965, PETER TERRIZZI, Federal Parole Officer, New York City, advised that on February 24, 1965, a parole violation warrant was issued for CROSBY and on February 25, 1965, he was arrested by United States Marshals. He said CROSBY is presently confined to the Federal Detention Headquarters, New York City, and he will be afforded a hearing on March 16, 1965. TERRIZZI said that CROSBY's parole had approximately two years remaining.

FEDERAL BUREAU OF INVESTIGATION

1.

Date 2/26/65

[redacted] Attorney, 400 Madison Avenue, New York City, advised that he represented, on a limited basis, [redacted] and Trans-World Theatricals and their dealings with PETER CROSBY and RAY PIERSON.

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He said that he is not completely familiar with [redacted] transaction with PIERSON and Roosevelt Capital Corporation involving a loan of \$60,000.00, and his file has limited information and documents.

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[redacted] said he has the original note dated May 15, 1964, for \$44,000.00, signed by Contractors Guild, Incorporated, RAY PIERSON, Secretary-Treasurer, to the order of Trans-World Theatricals, Incorporated; however, he does not have the cancelled check for \$44,000.00 which was drawn on the Trans-World account and given to PIERSON and CROSBY. He said he has no information regarding its whereabouts.

He said his file also contains a poor copy of a \$4,000.00 check, drawn on the Fort Lee Trust Company, Fort Lee, New Jersey, dated April 27, 1964, Number 113, signed by [redacted] payable to Trans-World Theatricals, which appears to be some sort of an advance to Trans-World.

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[redacted] voluntarily made available copies of these two documents.

On 2/18/65 at New York City, New York File # NY 46-6700

SA JOHN G. WILKINSON, Jr. /sgp

2/19/65

by _____ Date dictated _____

This document contains neither recommendations nor conclusions of the FBI. It is the property of the FBI and is loaned to your agency. It and its contents are not to be distributed outside your agency.

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE 3/25/65	INVESTIGATIVE PERIOD 3/10-3/24/65
TITLE OF CASE FRANCIS PETER CROSBY; ET AL		REPORT MADE BY JOHN G. WILKINSON, JR.	TYPED BY jmr
		CHARACTER OF CASE FAG	

REFERENCE:

Report of SA JOHN G. WILKINSON, JR., at New York,
dated 3/16/65. v

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LEADNEW YORK

At New York, New York

Will obtain criminal prosecutive opinion and
follow civil proceedings.

APPROVED <i>[Signature]</i>	SPECIAL AGENT IN CHARGE	DO NOT WRITE IN SPACES BELOW	
COPIES MADE:		46-51211	13
④-Bureau (46-51211) 1- USA, SDNY (ATT: AUSA B. W. NUSS-BAUM) 1- USA, SDNY (ATT: AUSA A. BLUMBERG) 2- New York (46-6700)		1 MAR 26 1965	REC 8 EX-117
DISSEMINATION RECORD OF ATTACHED REPORT		NOTATIONS	
AGENCY	REQUEST RECD.	<i>[Stamp: STAT. SECT.]</i>	
DATE FWD.	HOW FWD.		
BY			
69 APR 1 1965 4/7/65			

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to: 1- USA, SDNY (ATT: AUSA B. W. NUSSBAUM)
1- USA, SDNY (ATT: AUSA A. BLUMBERG)

Report of: JOHN G. WILKINSON, JR. Office: New York, New York
Date: 3/25/65

Field Office File #: 46-6700 Bureau File #: 46-51211

Title: FRANCIS PETER CROSBY; ET AL

Character: FRAUD AGAINST THE GOVERNMENT

Synopsis:

AUSA, SDNY reviewing matter for criminal prosecutive opinion. CROSBY presently confined to Federal Detention Headquarters, NYC, for parole violation.

-P-

DETAILS:

On March 10, 17, 24, 1965, Assistant United States Attorney (AUSA) B. W. NUSSBAUM, Southern District of New York (SDNY), advised that he is following this matter with the Civil Division of SDNY. He said that he is reviewing the voluminous facts in this case to determine if there is sufficient evidence for successful criminal prosecution.

On March 23, 1965, AUSA BLUMBERG, Civil Division, SDNY, advised that civil proceedings are continuing in this matter and he is keeping AUSA NUSSBAUM apprised of pertinent developments.

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FBI

Date: 3/30/65

PLAIN TEXT

Transmit the following in _____
(Type in plaintext or code)

AIRTEL

Via _____
(Priority)

TO: DIRECTOR, FBI (46-51211)

FROM: SAC, NEW YORK (46-6700)

SUBJECT: FRANCIS PETER CROSBY;
RAYMOND E. PIERSON;
ROOSEVELT CAPITAL CORPORATION, ETC.
FAG
(OO: NY)

0-1 NY 5-15-65
NY 115-19-65

For information of New Haven, Roosevelt Capital Corporation (RCC) is a Small Business Administration licensee and as such received U.S. Government funds to loan to small businessmen. CROSBY, who has a criminal record, and PIERSON, as well as others gained control of RCC and possibly conspired to defraud the U.S. Government.

AUSA, SDNY, has requested background information regarding STUART WALLEN be obtained in connection with this investigation. The only information available is that it is believed he banks at the Second National Bank of New Haven.

New Haven, at New Haven, Connecticut, will contact the bank for WALLEN's identity and address and thereafter conduct appropriate credit and criminal checks.

3- Bureau
2- New Haven
1- New York

JGW:jmr

(7)

REC-131

46-51211-14
MAR 31 1965

SIX

66 APR 6 1965

Sent _____ M Per _____

Special Agent in Charge

FEDERAL BUREAU OF INVESTIGATION *bt*

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE 5/17/65	INVESTIGATIVE PERIOD 3/30-5/13/65
TITLE OF CASE FRANCIS PETER CROSBY; ET AL		REPORT MADE BY JOHN G. WILKINSON, JR.	TYPED BY jmr
		CHARACTER OF CASE FAG	

REFERENCES:

Report of SA JOHN G. WILKINSON, JR., at New York
dated 3/25/65.¹
New York airtel, 3/30/65.¹⁴
New Haven letter to New York, 4/29/65.¹⁰

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ADMINISTRATIVE:

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New Haven Division advised office indices
negative for WALLEN. Dun & Bradstreet, New Haven, Connecticut,
also checked with negative results on 4/29/65.

APPROVED <i>[Signature]</i>	SPECIAL AGENT IN CHARGE	DO NOT WRITE IN SPACES BELOW	
COPIES MADE		46 - 51211 -	REC-26
4- Bureau (46-51211) 1- USA, SDNY (ATT: AUSA B. W. NUSS-BAUM) 1- USA, SDNY (ATT: AUSA A. BLUMBERG) 2- New York (46-6700)		8 MAY 19 1965	EX 105
DISSEMINATION RECORD OF ATTACHED REPORT		NOTATIONS	
AGENCY	REQUEST RECD.	STAT. SECT.	
DATE FWD.	HOW FWD.		
BY			

60 JUN 2 1965

NY 46-6700

LEAD

NEW YORK

At New York, New York

Will obtain criminal prosecutive opinion and
follow civil proceedings.

-B*-

COVER PAGE

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to:

1- USA, SDNY (ATT: AUSA B. W. NUSSBAUM)
1- USA, SDNY (ATT: AUSA A. BLUMBERG)

Report of:

JOHN G. WILKINSON, JR.
5/17/65

Office:

New York, New York

Date:

Field Office File #:

46-6700

Bureau File #:

46-51211

Title:

FRANCIS PETER CROSBY; ET AL

Character:

FRAUD AGAINST THE GOVERNMENT

Synopsis:

Credit Bureau records, New Haven, Connecticut, reveal STEWART B. WALLEN resides Brewster Lane, North Haven, Conn., and operates concern known as Commercial Business Consultants, Hamden, Conn. Records of New Haven, Hamden and North Haven, Conn, Police Department negative re WALLEN. AUSA, SDNY, withholding criminal prosecutive opinion.

-P-

DETAILS:

On March 30, 1965, Assistant United States Attorney (AUSA) A. BLUMBERG, Southern District of New York (SDNY), advised that STUART WALLEN, who banks at the Second National Bank of New Haven, Connecticut, is connected with this investigation and he requested that available background information be obtained.

1

Mrs. ALVINA HODGE, New Haven Credit Bureau, New Haven, Conn., advised on 4/19/65, that STEWART B. WALLEN and his wife, EFE, have been known to her Bureau since 10/31/62, at which time their address was listed as 118 Dickerman St., Hamden, Conn. Prior thereto the WALLENS resided at 80 Annandale Road, Newport, R. I. Since 8/8/63, the WALLENS have resided at Brewster Lane, North Haven, Conn. As of 10/31/62, WALLENS employment was listed as the Columbia Restaurant on Cape Cod, Mass. As of 5/16/63, his employment was listed as Manager of the Ambassador Restaurant, Hamden, Conn. As of 1/14/65, his employment was listed as Divisional Manager of Mealtime Management, North Haven, Conn., but he reportedly left that concern about one week later. For the past five years he is reported to have operated a concern known as Commercial Business Consultants at Hamden, Conn. WALLEN is reported to have four children by a prior marriage and is presently married to [REDACTED]

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The WALLENS have a satisfactory credit rating.

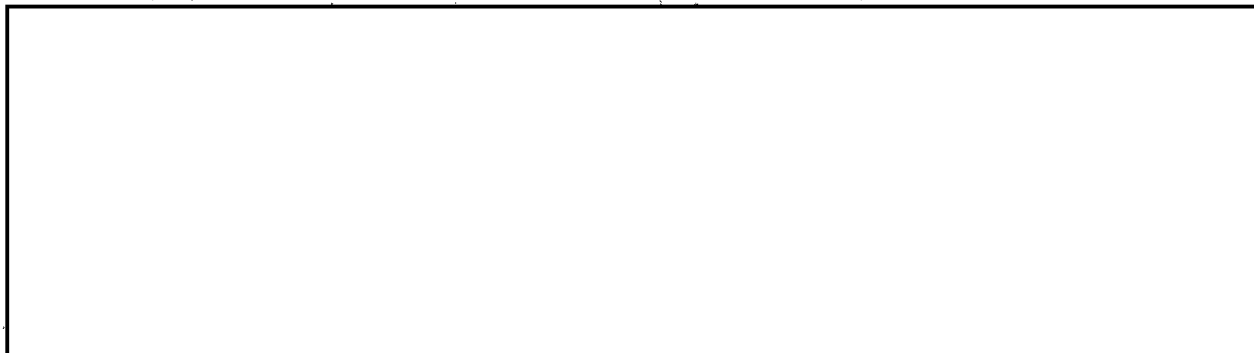
The following individuals advised on the dates indicated that there is no record with their respective agencies identifiable with STEWART B. WALLEN:

Officer ANGELO SABIA, New Haven, Conn. Police Department, 4/22/65.

Lieut. BIRZE MIKOLINSKY, Hamden, Conn. Police Department, 4/22/65.

Sgt. EDWARD OLMSTEAD, North Haven, Conn. Police Department, 4/22/65.

FEDERAL BUREAU OF INVESTIGATION

1Date April 29, 1965

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The above information can be made public only upon issuance of
a subpoena duces tecum addressed to

b7D



On 4/19/65 at New Haven, Conn. File # 46-1873

by SA LEONARD F. JOHNSON LFJ/nk Date dictated 4/26/65

This document contains neither recommendations nor conclusions of the FBI. It is the property of the FBI and is loaned to your agency; it and its contents are not to be distributed outside your agency.

NY 46-6700

At New York, New York

During period of March 30, 1965, to May 13, 1965, facts of this case were discussed with AUSA B.W. NUSSBAUM, SDNY, on a regular basis. He stated that AUSA BLUMBERG is involved in the civil aspect of this matter and if any possibility of criminal prosecution occurs, he will advise the Federal Bureau of Investigation as he is in contact with AUSA BLUMBERG.

On May 13, 1965, AUSA BLUMBERG, SDNY, advised that civil proceedings to date consist primarily of depositions from individuals involved in this matter with the ultimate hope that over \$150,000 of United States Government funds can be recovered.

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE 6/22/65	INVESTIGATIVE PERIOD 5/31-6/18/65
TITLE OF CASE FRANCIS PETER CROSBY; ET AL		REPORT MADE BY JOHN G. WILKINSON, JR.	TYPED BY jmr
		CHARACTER OF CASE FAG	

REFERENCE:

Report of SA JOHN G. WILKINSON, JR., at
New York dated 5/17/65.

- P -

LEADNEW YORK

At New York, New York

Will obtain criminal prosecutive opinion
and follow civil proceedings.

APPROVED <i>ged</i>	SPECIAL AGENT IN CHARGE	DO NOT WRITE IN SPACES BELOW	
COPIES MADE: 4- Bureau (46-51211) 1- USA, SDNY (ATT: AUSA B.W. NUSSBAUM) 1- USA, SDNY (ATT: AUSA A. BLUMBERG) 2- New York (46-6700)		46-51211-16	REC-56
		12 JUN 23 1965	EX-109
Dissemination Record of Attached Report		Notations	
Agency	Request Recd.	Date Fwd.	How Fwd.
By			
58 JUL 2 1965		STAT. SECT.	

**UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION**

Copy to: 1- USA, SDNY (ATT: AUSA B.W. NUSSBAUM)
1- USA, SDNY (ATT: AUSA A. BLUMBERG)

Report of: JOHN G. WILKINSON, JR. Office: New York, New York
Date: 6/22/65

Field Office File #: 46-6700 Bureau File #: 46-51211

Title: FRANCIS PETER CROSBY; ET AL

Character: FRAUD AGAINST THE GOVERNMENT

Synopsis: AUSA, SDNY, Criminal Division, withholding prosecutive opinion pending results of civil aspects of this matter. AUSA, SDNY, Civil Division, advises civil proceedings continuing.

-P-

DETAILS:

During period of May 31, 1965 to June 18, 1965, the facts of this case were discussed on a regular basis with Assistant United States Attorney (AUSA) B.W. NUSSBAUM, Southern District of New York (SDNY), Criminal Division, who advised that he would withhold a criminal prosecutive opinion pending the results of the civil aspects of this case.

On June 18, 1965, AUSA A. BLUMBERG, SDNY, Civil Division, advised that civil proceedings in this matter are continuing and over 1,000 pages of testimony have been taken from the principals, including depositions from CROSBY, PIERSON, SHAPIRO, employees of the Franklin National Bank and others. He said it appears as though the proceeds of a \$25,000 fidelity bond could possibly be recovered by the United States Government and efforts will be made to recover the balance due to the Government.

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE 8/6/65	INVESTIGATIVE PERIOD 6/28/-7/29/65
TITLE OF CASE FRANCIS PETER CROSBY; ETAL		REPORT MADE BY JOHN G. WILKINSON, Jr.	TYPED BY kpp
		CHARACTER OF CASE FAG	

REFERENCE:

Report of SA JOHN G. WILKINSON, Jr., New York
6/22/65. *u*

- P -

LEADS:NEW YORK

AT NEW YORK, NEW YORK. Will obtain criminal
prosecutive opinion and follow civil proceedings.

APPROVED <i>[Signature]</i>	SPECIAL AGENT IN CHARGE	DO NOT WRITE IN SPACES BELOW	
COPIES MADE: 4 - Bureau (46-51211) 1 - USA, SDNY (Att: AUSA B.W. Nussbaum) 1 - USA, SDNY (Att: AUSA A. Blumberg) 2 - New York (46-6700)		46-51211-17	REC-15 EX-107
DISSEMINATION RECORD OF ATTACHED REPORT		NOTATIONS	
AGENCY	REQUEST RECD.	DATE FWD.	HOW FWD.
BY	51 AUG 19 1965	8/18/65	

STAT. SECT.

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

- 1 - UNITED STATES ATTORNEY, SOUTHERN DISTRICT OF
NEW YORK (ATT: ASSISTANT UNITED STATES ATTORNEY
B. W. NUSSBAUM)
1 - UNITED STATES ATTORNEY, SOUTHERN DISTRICT OF
NEW YORK (ATT: ASSISTANT UNITED STATES ATTORNEY
A. BLUMBERG)

Copy to:

Report of:

JOHN G. WILKINSON, Jr.

Office: New York, New York

Date:

August 6, 1965

Field Office File #:

46-6700

Bureau File #:

46-51211

Title:

FRANCIS PETER CROSBY;
ETAL

Character:

FRAUD AGAINST THE GOVERNMENT

Synopsis:

Civil proceedings continuing and AUSA, SDNY,
withholding criminal prosecutive opinion.

- P -

DETAILS:

During period of June 28, 1965 to July 29, 1965, the facts of this case were discussed with Assistant United States Attorney (AUSA) B. W. NUSSBAUM, Criminal Division, and AUSA A. BLUMBERG, Civil Division, Southern District of New York (SDNY), on a regular basis.

AUSA NUSSBAUM advised he will withhold a criminal prosecutive opinion pending the results of the civil aspects of this case.

On July 29, 1965, AUSA BLUMBERG stated that civil proceedings are continuing and he noted that [redacted] who had dealings with CROSBY and PIERSON in this matter, was recently made the subject of a suit in the SDNY, wherein the United States Government is seeking a substantial amount

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NY 46-6700

of money because he assertedly executed false certificates
while trading foreign securities.



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FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE 9/9/65	INVESTIGATIVE PERIOD 9/8/65
TITLE OF CASE FRANCIS PETER CROSBY; ET AL		REPORT MADE BY JOHN G. WILKINSON, JR.	TYPED BY ljs
		CHARACTER OF CASE FAG	

REFERENCE:

Report of SA JOHN G. WILKINSON, JR. at NY
dated 8/6/65.11

-P-

LEADNEW YORK

AT NEW YORK, NEW YORK: Will obtain criminal
prosecutive opinion and follow civil proceedings.

APPROVED <i>JFM</i>	SPECIAL AGENT IN CHARGE	DO NOT WRITE IN SPACES BELOW	
COPIES MADE: ④ - Bureau (46-51211) 1 - USA, SDNY (ATT: AUSA NUSSEBAUM) 1 - USA, SDNY (ATT: AUSA BLUMBERG) 2 - New York (46-6700)		46-51211-18	REC- 62
240		2 SEP 10 1965	EX. 107
Dissemination Record of Attached Report		Notations	
Agency	1cc SA New York		
Request Recd.			
Date Fwd.			
How Fwd.	WB: [initials]		
By	9/15/65		
54 SEP 17 1965		STAT SECT.	
COVER PAGE -A*-			

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to: 1 - USA, SDNY (ATTENTION: AUSA B. W. NUSSBAUM)
1 - USA, SDNY (ATTENTION: AUSA A. BLUMBERG)

Report of: JOHN G. WILKINSON, JR. Office: New York, New York
Date: 9/9/65

Field Office File #: 46-6700 Bureau File #: 46-51211

Title: FRANCIS PETER CROSBY;
ET AL

Character: FRAUD AGAINST THE
GOVERNMENT

Synopsis: Civil proceedings continuing and AUSA, SDNY,
withholding criminal prosecutive opinion.

-P-

DETAILS:

On September 8, 1965, Assistant United States Attorney (AUSA) ALAN BLUMBERG, Civil Division, Southern District of New York (SDNY), advised that civil proceedings are continuing and he recently discussed with the receiver, MORTIMER TODEL, a possible claim against Franklin National Bank for their participation in this matter. He also stated that he recently learned CROSBY was married [REDACTED]

[REDACTED]
He said CROSBY is in the Federal Correctional Institution, Danbury, Connecticut, and PIERSON is reportedly now in California.

On that same date, AUSA B. W. NUSSBAUM, Criminal Division, SDNY, advised that he would withhold a criminal prosecutive opinion pending the results of the civil aspects of this case.

-1*-

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE 10/19/65	INVESTIGATIVE PERIOD 10/18/65
TITLE OF CASE FRANCIS PETER CROSBY; ET AL		REPORT MADE BY JOHN G. WILKINSON, JR.	TYPED BY mpm
		CHARACTER OF CASE FAG	

REFERENCE

Report of SA JOHN G. WILKINSON, JR. at New York,
9/9/65. 16

- P -

LEAD

NEW YORK

AT NEW YORK, NEW YORK. Will obtain criminal prosecu-
tive opinion and follow civil proceedings.

0-1 NY 10-29-65
rep sent 10-19-65
mm

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APPROVED <i>[Signature]</i>	SPECIAL AGENT IN CHARGE	DO NOT WRITE IN SPACES BELOW	
COPIES MADE ④ - Bureau (46-51211) 1 - USA, SDNY (AUSA B. NUSSBAUM) 1 - USA, SDNY (AUSA A. BLUMBERG) 2 - New York (46-6700)		46-51211-19	REC-68 EX 110
Dissemination Record of Attached Report		Notations	
Agency	Request Recd.	Date Fwd.	
How Fwd.	By	WB: 10/27/65	

5 OCT 21 1965
16 100

STAT SECT.

57 OCT 27 1965 75C

A*
COVER PAGE

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to: 1 - USA, SDNY (ATT: AUSA B. NUSSBAUM)
1 - USA, SDNY (ATT: AUSA A. BLUMBERG)

Report of: JOHN G. WILKINSON, JR.
Date: 10/19/65

Office: New York, New York

Field Office File #: 46-6700

Bureau File #: 46-51211

Title: FRANCIS PETER CROSBY;
ET AL

Character: FRAUD AGAINST THE GOVERNMENT

Synopsis: Civil proceedings continuing in SDNY. AUSA, SDNY,
Criminal Division, withholding prosecutive opinion.

- P -

DETAILS

On October 13, 1965, Assistant United States Attorney ALAN BLUMBERG, Criminal Division, Southern District of New York, advised that civil proceedings in this matter are continuing. On that same date, Assistant United States Attorney B. NUSSBAUM, Criminal Division, Southern District of New York, advised that he will withhold a prosecutive opinion pending the results of the civil aspect of this case.

*

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE 12/6/65	INVESTIGATIVE PERIOD 11/24 - 29/65
TITLE OF CASE FRANCIS PETER CROSBY; ET AL		REPORT MADE BY JOHN G. WILKINSON, JR.	TYPED BY nbc
		CHARACTER OF CASE FAG	

REFERENCE:

Report of SA JOHN G. WILKINSON, JR., NY, 10/19/65.

- P -

LEADNEW YORK

AT NEW YORK, NEW YORK Will obtain criminal prosecutive opinion and follow civil proceedings.

APPROVED <i>[Signature]</i>	SPECIAL AGENT IN CHARGE	DO NOT WRITE IN SPACES BELOW	
COPIES MADE: 4 - Bureau (46-51211) 1 - USA, SDNY (ATTN: AUSA B. NUSSBAUM) 1 - USA, SDNY (ATTN: AUSA A. BLUMBERG) 2 - New York (46-6700)		46-51211-20	REC-10
		8 DEC 7 1965	EX-107
DISSEMINATION RECORD OF ATTACHED REPORT		NOTATIONS	
AGENCY	REQUEST RECD.	DATE FWD.	HOW FWD.
BY			

57 DEC 10 1965

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to: 1 - USA, SDNY (ATTN: AUSA B. NUSSBAUM)
1 - USA, SDNY (ATTN: AUSA A. BLUMBERG)

Report of: JOHN G. WILKINSON, JR. Office: New York, New York
Date: 12/6/65

Field Office File #: 46-6700 Bureau File #: 46-51211

Title: FRANCIS PETER CROSBY; ET AL

Character: FRAUD AGAINST THE GOVERNMENT

Synopsis:

AUSA, Civil Division, SDNY, advises civil proceedings continuing. AUSA, Criminal Division, SDNY, withholding prosecutive opinion.

- P -

DETAILS:

On November 24, 29, 1965, Assistant United States Attorney ALAN BLUMBERG, Civil Division, Southern District of New York, advised that civil proceedings in this matter are continuing. On November 29, 1965, Assistant United States Attorney B. NUSSBAUM, Criminal Division, Southern District of New York, advised that he will withhold a prosecutive opinion pending the results of the civil aspect of this case.

- 1* -

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE 1/17/66	INVESTIGATIVE PERIOD 12/20/65 - 1/12/66
TITLE OF CASE FRANCIS PETER CROSBY; ET AL		REPORT MADE BY SA JOHN G. WILKINSON, JR.	TYPED BY bam
		CHARACTER OF CASE FAG	

REFERENCE:

Report of SA JOHN G. WILKINSON, JR., New York, 12/6/65.

- P -

LEAD:NEW YORK

AT NEW YORK, NEW YORK. Will obtain criminal prosecutive opinion and follow civil proceedings.

CASE PENDING OVER 1 YEAR: YES CASE PENDING PROSECUTION OVER 6 MONTHS: NO

APPROVED	SPECIAL AGENT IN CHARGE	DO NOT WRITE IN SPACES BELOW	
COPIES MADE:	4 - Bureau (46-51211) 2 - USA, SDNY (ATT: AUSA N. USSBAUM) (1 - ATT: AUSA BLUMBERG) 2 - New York (46-6700)	46-51211-21	REC 34
		18 JAN 19 1966	
Dissemination Record of Attached Report		Notations	
Agency	1cc SBA 2cc RAO	W.B. STANLEY 1/25/66	
Request Recd.			
Date Fwd.			
How Fwd.			
By			
COVER PAGE			

54 JAN 27 1966

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to: 2 - USA, SDNY (ATT: AUSA NUSSBAUM)
(1 - ATT: AUSA BLUMBERG)

Report of: JOHN G. WILKINSON, JR. Office: New York, New York
Date: 1/17/66

Field Office File #: 46-6700 Bureau File #: 46-51211

Title: FRANCIS PETER CROSBY; ET AL

Character: FRAUD AGAINST THE GOVERNMENT

Synopsis: AUSA, Civil Division, SDNY, advises civil proceedings continuing. AUSA, Criminal Division, SDNY, withholding prosecutive opinion.

- P -

DETAILS:

On December 20, 1965 and January 12, 1966, Assistant United States Attorney (AUSA) ALAN BLUMBERG, Civil Division, Southern District of New York, advised that civil proceedings in this matter are continuing. On the latter date, he advised that he recently had a conference with the receiver, MORTIMER TODEL, and he advised the Federal Bureau of Investigation will be advised of pertinent developments.

On December 20, 1965, AUSA B. NUSSBAUM, Criminal Division, Southern District of New York, advised that he will withhold a prosecutive opinion pending the results of the civil aspect of this case.

- 1* -

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE 2/24/66	INVESTIGATIVE PERIOD 2/9-14/66
TITLE OF CASE FRANCIS PETER CROSBY; ET AL		REPORT MADE BY JOHN G. WILKINSON, JR.	TYPED BY jmr
		CHARACTER OF CASE FAG	

REFERENCE:

Report of SA JOHN G. WILKINSON, JR., dated
1/17/66.

-P-

LEAD:NEW YORK

At New York, N.Y.

1. Will obtain criminal prosecutive opinion and follow civil proceedings.

2. Will determine present whereabouts of [redacted] who is allegedly now residing in California.

CASE PENDING OVER 1 YEAR: YES CASE PENDING PROSECUTION OVER 6 MONTHS: NO

APPROVED <i>[Signature]</i>	SPECIAL AGENT IN CHARGE	DO NOT WRITE IN SPACES BELOW	
COPIES MADE: ④ Bureau (46-51211) 2- USA, SDNY (ATT: AUSA NUSSBAUM) (1- ATT: AUSA BLUMBERG) 2- New York (46-6700)		46-51211-22 14 FEB 25 1966 REC-14	
Dissemination Record of Attached Report		Notations	
Agency	<i>[Signature]</i>	<i>[Handwritten notes and stamps]</i> STATE SECURITY	
Request Recd.	48		
Date Fwd.	57 MAR 11 1966		
How Fwd.	WR: 2		
By	3/8/66		

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to: 2- USA, SDNY (ATT: AUSA NUSSBAUM)
(1- ATT: AUSA BLUMBERG)

Report of: JOHN G. WILKINSON, JR. Office: New York, New York
Date: 2/24/66

Field Office File #: 46-6700 Bureau File #: 46-51211

Title: FRANCIS PETER CROSBY; ET AL

Character: FRAUD AGAINST THE GOVERNMENT

Synopsis:

AUSA, Civil Division, SDNY, advises civil proceedings continuing. AUSA, Criminal Division, SDNY, withholding prosecutive opinion.

-P-

DETAILS:

On February 9 and 14, 1966, Assistant United States Attorney (AUSA) ALAN BLUMBERG, Civil Division, Southern District of New York (SDNY), advised that depositions are being taken in this matter and other civil proceedings are continuing.

AUSA BLUMBERG requested that the present whereabouts of [] who is allegedly in California, be ascertained.

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On these same dates, AUSA B. NUSSBAUM, Criminal Division, SDNY, advised that he will withhold a prosecutive opinion pending the results of the civil aspects of this case.

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FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE 4/4/66	INVESTIGATIVE PERIOD 2/24-4/1/66
TITLE OF CASE FRANCIS PETER CROSBY; ET AL		REPORT MADE BY JOHN G. WILKINSON, JR.	TYPED BY jmr
		CHARACTER OF CASE FAG	

REFERENCES:

Report of SA JOHN G. WILKINSON, JR., dated
2/24/66 at New York.
Los Angeles airtel to New York dated 3/15/66

- P -

ADMINISTRATIVE:

USPO. NYC advised SA WALTER ZINK on 3/2/66 that
[redacted] filed a removal
notice indicating mail should be forwarded to [redacted]
[redacted] USPO records re [redacted]
[redacted] reveal mail is delivered to
this address but a [redacted] at this address refuses the
mail and there is no forwarding address for [redacted]

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CASE PENDING OVER 1 YEAR: YES PENDING PROSECUTION OVER 6 MONTHS: NO

APPROVED COPIES MADE: 4- Bureau (46-51211) 1- USA, SDNY (ATT: AUSA A. BLUMBERG) 1- USA, SDNY (ATT: AUSA B. NUSSBAUM) 2- New York (46-6700)	SPECIAL AGENT IN CHARGE	DO NOT WRITE IN SPACES BELOW 46-51211-23 8 APR 6 1966 REC 36 EX-100	
Dissemination Record of Attached Report		Notations	
Agency	Request Recd.	Date Fwd.	How Fwd.
By			

55 APR 19 1966

WB
4/13/66

STAT. SECT.

NY 46-6700

ADMINISTRATIVE CONT'D:

Information obtained from the New York Telephone
Company, NYC, furnished by [REDACTED]
[REDACTED] on 3/24/66.

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LEADS:

NEW YORK

At New York, N.Y.

1. Will follow civil proceedings.
2. Will obtain criminal prosecutive opinion.
3. Will continue efforts to locate [REDACTED]

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UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to: 1- USA, SDNY (ATT: AUSA A. BLUMBERG)
1- USA, SDNY (ATT: AUSA B. NUSSBAUM)

Report of: JOHN G. WILKINSON, JR. Office: New York, New York
Date: 4/4/66

Field Office File #: 46-6700 Bureau File #: 46-51211

Title: FRANCIS PETER CROSBY; ET AL

Character: FRAUD AGAINST THE GOVERNMENT

Synopsis:

Former business associate and attorney unaware of [redacted] present whereabouts. Telephone directories for Los Angeles and surrounding areas fail to reveal listing for [redacted] [redacted] unaware of her husband's present whereabouts. AUSA, SDNY, advises civil proceedings continuing.

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DETAILS:

On February 24, 1966, [redacted] [redacted] advised that he has not seen or heard from [redacted] for over a year and he has no information regarding his present whereabouts.

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[redacted] Investigation previously conducted revealed business associates were as follows:

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NY 46-6700

[REDACTED]

Attempts to telephonically contact [REDACTED] and [REDACTED] revealed their telephones had been disconnected and on February 27, 1966, attempts to contact [REDACTED] and [REDACTED] at their residences revealed they no longer resided there and their present whereabouts are unknown.

On February 28, 1966, Assistant United States Attorney ALAN BLUMBERG, Southern District of New York, requested that identification records for the following individuals be obtained:

RAY PIERSON, Federal Bureau of Investigation (FBI)
#380473A;

JOHN BRODY, FBI # 181004A;

FRANK CALISE, FBI #492573C;

[REDACTED]

On March 9, 1966, [REDACTED] advised that [REDACTED] rented an apartment from her but he left suddenly and did not leave a forwarding address.

On March 11, 1966, [REDACTED] telephonically contacted the New York Office and advised that since Trans World went out of business over a year ago, he has had no contact with [REDACTED]. He said he has no information regarding his present whereabouts. He said, however, that around Christmas, 1965, his mother got a call from [REDACTED].

[REDACTED]

NY 46-6700

and [] has been unable to obtain [] telephone number to contact her. [] said he can always be contacted through []

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On March 16, 1966, SA JOHN C. MC AVOY advised the files of the Credit Bureau of Greater New York contain no information regarding []

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Physical observation reveals 1702 Linden Boulevard (Avenue), Brooklyn and Queens, New York are non-existent.

Records of the New York Telephone Company, as reviewed by SA FRANK MEYERS on March 24, 1966, reveal a listing for []

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On March 15, 1966, the Los Angeles Division advised that a review of telephone directories for Los Angeles and surrounding areas failed to reveal a listing for []

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On March 31, 1966, Assistant United States Attorney (AUSA) BLUMBERG was furnished the identification records for PIERSON, BRODY, SEAGRAVES and LESTER and he was advised that the FBI Identification number given for CALISE is assigned to another individual. He said civil proceedings in this matter are continuing.

On April 1, 1966, [] advised that he is [] and he believes [] returned to New York City about three months ago after being in Florida and California. He said []

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NY 46-6700

On April 1, 1966, [REDACTED]

[REDACTED] advised that she [REDACTED] since about the time he was interviewed by the FBI and she is aware of his present whereabouts. She said that although he planned to go to California, he did not actually go, and she has spent most of the time in Florida. She said she wants to contact [REDACTED] regarding [REDACTED]

[REDACTED] She said some of their mutual friends are not aware of [REDACTED] present whereabouts and she knows of no one who has this specific information. She stated she would immediately contact the FBI if she hears from [REDACTED] or learns of his whereabouts.

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F B I

Date: 4/8/66

Transmit the following in _____
(Type in plaintext or code)Via AIRTEL _____
(Priority)

TO: DIRECTOR, FBI (46-51211)

FROM: SAC, NEW YORK (46-6700)

SUBJECT: FRANCIS PETER CROSBY
FAG
(OO:NEW YORK)ReLAairtel 3/15/66. ⁴⁰

AUSA, Civil Division, SDNY, has advised FBI Identification Record for RAY PIERSON, FBI #380473A, who is a subject in this case, reflects an arrest on 1/19/66, by US Marshal, Los Angeles, #089-19204, for failure to appear for a hearing. He requested that full details of this arrest be obtained as well as a current address for PIERSON.

For information of Los Angeles, the NYO believes _____ is possibly in the New York City area, and contact has been made with his wife, who is now separated from him.

LEADLOS ANGELES

AT LOS ANGELES, CALIFORNIA. Will obtain full details and background re PIERSON's arrest, and obtain current address for him.

- 3 - Bureau
2 - Los Angeles (46-9011)
1 - New York

JGW:blb

(7)

C C - [Signature]

Approved: _____
Special Agent in Charge

Sent _____ M

Per _____

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FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE 5/11/66	INVESTIGATIVE PERIOD 4/6-5/10/66
TITLE OF CASE FRANCIS PETER CROSBY; ET AL		REPORT MADE BY JOHN G. WILKINSON, JR.	TYPED BY jmr
		CHARACTER OF CASE FAG	

REFERENCES:

Report of SA JOHN G. WILKINSON, JR., at
 New York dated 4/4/66. ²³
 New York airtel dated 4/8/66. ²⁴
 Los Angeles airtel to New York dated 4/14/66. ²⁰
 Houston airtel to New York, dated 4/20/66. ²⁰

- P -

CASE PENDING OVER
 ONE YEAR: YES

PENDING PROSECUTION OVER
 SIX MONTHS: NO

APPROVED <i>gjm</i>	SPECIAL AGENT IN CHARGE	DO NOT WRITE IN SPACES BELOW	
COPIES MADE: 4- Bureau (46-51211) 1- USA, SDNY (ATT: AUSA L. NEWMAN) 1- USA, SDNY (ATT: AUSA A. BLUMBERG) 2- New York (46-6700)		46-51211-25	REC-50
		EX-104	
		16 MAY 16 1966	
Dissemination Record of Attached Report		Notations	
Agency	1 cc SBA	2 cc RAO	163 STAT SECTN
Request Recd.			
Date Fwd.			
How Fwd.			
By			
69 MAY 27 1966		5/28/66	

NY 46-6700

California. According to Mr. MOLLER, the continuance of the hearing before the United States Commissioner in Los Angeles has "tied his hands" in bringing PIERSON before the Bankruptcy Court in Houston, Texas.

Mr. MOLLER pointed out that any appearance before or arrangement by PIERSON with the Trustee in Bankruptcy does not constitute an appearance for examination by the creditors and referee in Bankruptcy Court.

On April 21, 1966, [redacted]

[redacted] advised that she has no information regarding her husband's whereabouts and she knows of no one ^{who} would have this information. She said his only friend is [redacted] and she believes [redacted] is trying to locate [redacted]

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On April 21 and May 10, 1966, results of investigation were discussed with Assistant United States Attorney BLUMBERG, SDNY, who advised that civil proceedings are continuing.

NY 46-6700

United States Commissioner RUSSELL R. HERMANN advised SA MELONE the continuances were made in this case due to the fact PIERSON went to Texas and reportedly made arrangements with the Bankruptcy Court to make certain payments.

On April 20, 1966, the Houston Division advised as follows:

On April 19, 1966, Mr. ARTHUR L. MOLLER, Referee in Bankruptcy, Southern District of Texas, Houston, Texas, advised SA WILLIAM G. HARRY, Wick of Texas, Inc., filed voluntary bankruptcy petition for an arrangement under Chapter 11 (Bankruptcy File No. 64-H-79). The unsecured creditors agreed to accept the arrangement, but when RAYMOND E. PIERSON, President of Wick of Texas, Inc., was unable to pay on the arrangement, Wick of Texas, Inc., was adjudicated bankrupt on July 21, 1965, and MYRON M. SHIENFELD was appointed Receiver. At the First Meeting of Creditors held on August 4, 1965, SHIENFELD was elected Trustee and PIERSON was ordered to appear with the Books and Records of the Corporation for a hearing on August 31, 1965. When PIERSON failed to appear, Mr. MOLLER had a bench warrant issued on September 29, 1965, attested by the Clerk, United States District Court, Houston, for PIERSON's arrest.

According to Mr. MOLLER, at the request of PIERSON's attorney, B. GORDON ILER, Los Angeles, California, the hearing in Bankruptcy Court, Houston, Texas, was reset but PIERSON still failed to appear although the Trustee reported PIERSON did contact him in regard to certain payments. When it was apparent PIERSON did not intend to appear, Mr. MOLLER caused a second bench warrant to be issued on March 4, 1966, for revocation of bond and removal of PIERSON to Houston, Texas, by the United States Marshal. After the warrant was delivered to the United States Marshal, Houston, Texas, Mr. MOLLER received a communication from United States Commissioner RUSSELL R. HERMANN, Los Angeles, California, which advised his hearing before the United States Commissioner had been continued to a later date in March, 1966. Mr. MOLLER retrieved the second bench warrant from the United States Marshal before same was forwarded to the United States Marshal, Los Angeles,

NY 46-6700

failure to appear for a hearing. He requested that details surrounding this arrest be ascertained.

On April 14, 1966, the Los Angeles Division advised as follows:

Records, United States Marshal's Office, Los Angeles, were reviewed by SA CHARLES JOHN MELONE on April 13, 1966, and they reflect that RAY E. PIERSON, 3270 Oakshire Drive, Los Angeles, California, was arrested January 19, 1966, United States Marshal Number 089-19204, based on civil warrant issued by Southern District of Texas, September 29, 1965. PIERSON, a corporate officer, failed to appear for examination in the matter of Wick of Texas, Inc., Bankruptcy Number 64-H-79. PIERSON was released on \$1,000 personal surety bond. He was described as white, male, 45, born Minot, North Dakota, red hair, blue eyes, 6' and 270 pounds.

Records, United States Commissioner's Office, Los Angeles, reviewed same date, reflect PIERSON failed to appear August 31, 1965, before Referee in Bankruptcy ARTHUR L. MOLLER and civil warrant issued under Section 10 of the Bankruptcy Act. \$5,000 bond was recommended but PIERSON released on \$1,000 bond due to the fact he surrendered voluntarily and his wife and family reside with him at the Oakshire address in Los Angeles. PIERSON was represented by Attorney [redacted]

[redacted]
PIERSON was continued to January 26, 1966, and was subsequently continued to February 3, 1966, March 25, 1966 and September 23, 1966.

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to: 1- USA, SDNY (ATT: AUSA L. NEWMAN)
1- USA, SDNY (ATT: AUSA A. BLUMBERG)

Report of: JOHN G. WILKINSON, JR. Office: New York, New York
Date: 5/11/66

Field Office File #: 46-6700 Bureau File #: 46-51211

Title: FRANCIS PETER CROSBY; ET AL

Character: FRAUD AGAINST THE GOVERNMENT

Synopsis:

[redacted] recontacted and she advised she has no information re her husband's whereabouts. RAY E. PIERSON arrested by USM, LA, for failure to appear for hearing, based on civil warrant issued by Southern District of Texas, involving bankruptcy matter of Wick of Texas, Inc.

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DETAILS:

On April 6, 1966, Assistant United States Attorney (AUSA) L. NEWMAN, Criminal Division, Southern District of New York (SDNY), advised that in view of AUSA NUSSEBAUM's resignation, the possible criminal aspects of this case are now being reviewed by him for consideration. He said that the civil proceedings will be followed and he will thereafter decide what criminal action, if any, will be taken. On that same date, AUSA ALAN BLUMBERG, Civil Division, SDNY, advised that from a review of RAY E. PIERSON's Federal Bureau of Investigation Identification Record, he has determined PIERSON was arrested by the United States Marshal, Los Angeles on January 19, 1966, for

NY 46-6700

LEADS

NEW YORK

At New York, N.Y.

1. Will follow civil proceedings.
2. Will obtain criminal prosecutive opinion.
3. Will continue efforts to locate

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COVER PAGE

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE 6/16/66	INVESTIGATIVE PERIOD 5/18-6/15/66
TITLE OF CASE FRANCIS PETER CROSBY; ET AL		REPORT MADE BY JOHN G. WILKINSON, JR.	TYPED BY jmr
		CHARACTER OF CASE FAG; MISCELLANEOUS- CIVIL SUIT	

REFERENCE:

Report of SA JOHN G. WILKINSON, JR., dated 5/11/66.

-P-

LEADS:NEW YORK

- AT NEW YORK, N.Y.: 1. Will follow civil proceedings.
2. Will obtain criminal prosecutive opinion.
3. Will continue efforts to locate

b6
b7CCASE PENDING OVER
ONE YEAR: YESPENDING PROSECUTION OVER
SIX MONTHS: NO

APPROVED <i>[Signature]</i>	SPECIAL AGENT IN CHARGE	DO NOT WRITE IN SPACES BELOW	
COPIES MADE: 4- Bureau (46-51211) 1- USA, SDNY (ATT: AUSA L. NEWMAN) 1- USA, SDNY (ATT: AUSA A. BLUMBERG) 2- New York (46-6700)		46-51211-26	REC 30 ST-120
JUN 15 1966 DEPT. OF JUSTICE F.B.I.		14 JUN 20 1966	
Dissemination Record of Attached Report		Notations	
Agency	Request Recd.	STAT. SECT.	
Date Fwd.	How Fwd.		
By			

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to: 1- USA, SDNY (ATT: AUSA L. NEWMAN)
1- USA, SDNY (ATT: AUSA A. BLUMBERG)

Report of: JOHN G. WILKINSON, JR. Office: New York, New York
Date: 6/16/66

Field Office File #: 46-6700 Bureau File #: 46-51211

Title: FRANCIS PETER CROSBY; ET AL

Character: FRAUD AGAINST THE GOVERNMENT;
MISCELLANEOUS-CIVIL SUIT

Synopsis:

AUSA, Civil Division, SDNY, advised civil summons and complaint filed on 5/13/66, demanding judgement against the Federal Insurance Company in the sum of \$25,000, plus interest and the costs and disbursements of the action. Records of Credit Bureau of Greater New York contain no information re [redacted] [redacted] former associate of [redacted] [redacted] unaware of [redacted] present whereabouts.

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- P -

DETAILS:

On May 18, 1966, Assistant United States Attorney (AUSA) ALAN BLUMBERG, Civil Division, Southern District of New York (SDNY), advised that on May 13, 1966, a summons and complaint were filed against the Federal Insurance Company, under Civil Action 66 Civ. 1387, demanding judgement in the sum of \$25,000 plus interest according to law, plus the costs and disbursements of the action. AUSA BLUMBERG advised that the complaint

NY 46-6700

states Federal Insurance Company issued its Brokers Blanket Bond #9605959A on July 10, 1962, wherein it undertook and agreed to indemnify and hold harmless Roosevelt Capital Corporation to an amount not exceeding \$25,000 for any loss arising by reason of certain acts specified therein, and losses in excess of \$25,000 covered by said bond have occurred by reason of, among other things, the fact the officers of Roosevelt Capital Corporation dishonestly and fraudulently failed to exercise their fiduciary duties in connection with the sale of the company on or about May 14, 1964, failed to notify the Small Business Administration of the sale and concealed the sale from the Small Business Administration, resulting in a loss to the United States of \$150,000 plus interest at 5% per annum, from February 8, 1964, no part of which has been paid and a loss to Roosevelt Capital Corporation of \$300,000. AUSA BLUMBERG said additional complaints may be filed in this matter.

On June 2, 1966, IC JOHN C. MC AVOY advised the files of the Credit Bureau of Greater New York fail to reveal any information regarding [redacted] formerly residing at [redacted]
[redacted]

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On June 15, 1966, [redacted]
[redacted] a former associate of [redacted] advised that he has no specific information regarding [redacted] present whereabouts or employment. He said several months ago a friend commented he either heard [redacted] was in Florida or this person saw him there, but there was nothing specific. He said, however, he will contact the Federal Bureau of Investigation if he learns of any pertinent information in this regard.

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FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE 7/22/66	INVESTIGATIVE PERIOD 6/20-7/15/66
TITLE OF CASE FRANCIS PETER CROSBY; ET AL		REPORT MADE BY JOHN G. WILKINSON, JR.	TYPED BY mtk
		CHARACTER OF CASE FAG; MISCELLANEOUS - CIVIL SUIT	

REFERENCE: Report of SA JOHN G. WILKINSON, JR., NY, 6/16/66.

- P -

ADMINISTRATIVE:

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b7D

Case has been: Pending over one year ☒ Yes ☐ No; Pending prosecution over six months ☐ Yes ☒ No

APPROVED <i>[Signature]</i> SPECIAL AGENT IN CHARGE COPIES MADE: 4-Bureau (46-51211) 1-USA, SDNY (ATTN: AUSA L. NEWMAN) 1-USA, SDNY (ATTN: AUSA A. BLUMBERG) 2-Miami 2-New York (46-6700) 2 03 111	DO NOT WRITE IN SPACES BELOW <div style="display: flex; justify-content: space-between;"> 46-51211-27 REC 12 </div> <div style="text-align: center; margin-top: 20px;"> EX 110 9 JUL 26 1966 EX 110 </div>
Dissemination Record of Attached Report	
Agency 1cc SBA 2cc RAO Request Recd. Date Fwd. 344 How Fwd. 1 AUG 22 1966 By WB: [Signature]	Notations <div style="text-align: center; margin-top: 20px;"> STAT SECT 8/80/66 COVER PAGE - A - </div>

NY 46-6700

ADMINISTRATIVE (cont'd)

[REDACTED]

For information of the Miami Division, NYO is attempting to locate [REDACTED] who is in show business and who has been interviewed in the past by NYO regarding the civil aspects of this case. [REDACTED] she claims not to be aware of his present whereabouts. She is also attempting to locate [REDACTED] to [REDACTED] NYO is merely trying to locate [REDACTED] in the event that his testimony is necessary when this civil matter is brought to trial although no specific trial date has been set to date.

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LEADS:

MIAMI

AT MIAMI, FLORIDA.

1. Will conduct appropriate record reviews in an attempt to locate [REDACTED]

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2. Will also contact other logical sources in the entertainment industry to determine if [REDACTED] is now employed in the Miami area, noting that he at one time resided on [REDACTED]

NEW YORK

AT NEW YORK, NEW YORK

1. Will continue efforts to locate [REDACTED]

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2. Will obtain details regarding suit filed against Crosby and Franklin National Bank.

COVER PAGE

-B -

NY 46-6700

LEADS (cont'd)

3. Will follow civil proceedings and will obtain criminal prosecutive opinion.

COVER PAGE

- C* -

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to: 1-USA, SDNY (ATTN: AUSA L. NEWMAN)
1-USA, SDNY (ATTN: AUSA A. BLUMBERG)

Report of: JOHN G. WILKINSON, JR. Office: New York, New York
Date: 7/22/66

Field Office File #: 46-6700 Bureau File #: 46-51211

Title: FRANCIS PETER CROSBY;
ET AL

Character: FRAUD AGAINST THE GOVERNMENT;
MISCELLANEOUS - CIVIL SUIT

Synopsis:

[redacted] of residence where [redacted] formerly resided advises he left no forwarding address and she is unaware of his present whereabouts. AGVA, NYC, advises their files reveal [redacted] a member of ARA and resided on [redacted] [redacted] at one time. General Artists Corporation, NYC, advises their records contain no information regarding [redacted] AUSA, SDNY advises suit filed against Crosby and Franklin National Bank in the Civil aspect of this case.

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- P -

DETAILS:

On June 23, 1966, [redacted] Personnel Office, General Artists Corporation, 600 Madison Avenue, New York City advised that her available files reveal no information regarding [redacted] She noted that possibly [redacted] represented an artist under contract with General Artists Corporation and if this was the case, her records would reveal no information regarding him.

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On June 24, 1966, [redacted] Hotel Bolivar, 230 Central Park West, New York City advised that

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NY 46-6700

[redacted] resided at the Hotel for about three months and when he left, he did not furnish a forwarding address. She also noted that when [redacted] registered at the Hotel he took with him the Hotel registration card and it was never returned to her for her files.

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On June 29, 1966, Assistant United States Attorney, ALAN BLUMBERG, Civil Division, Southern District of New York, advised that he is considering filing suit against the Franklin National Bank in this matter and it is now under consideration by the Department of Justice.

On July 14, 1966, Assistant United States Attorney BLUMBERG advised that within the last couple of days, a civil suit was filed against Crosby and the Franklin National Bank.

On June 30, 1966, [redacted] American Guild of Variety Artists (AGVA), 551 5th Avenue, New York City, advised that her files reveal an [redacted] [redacted] was a member of the Artists Representatives Association (ARA) and her files contain no additional information.

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On June 30, 1966, [redacted] Artists Representatives Association, 1270 6th Avenue, New York City, advised that his files reveal no information whatsoever regarding [redacted]
[redacted]

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On July 15, 1966, negative attempts were made to contact [redacted]
[redacted] and [redacted]
[redacted]

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b7C

F B I

Date: 8/15/66

Transmit the following in _____
(Type in plaintext or code)Via AIRTEL _____
(Priority)

TO : DIRECTOR, FBI (46-51211)

FROM : SAC, NEW YORK (46-6700)

SUBJECT: FRANCIS PETER CROSBY;
ET AL
FAG; MISCELLANEOUS - CIVIL SUIT
(OO: NY)

Rerep of SA JOHN G. WILKINSON, JR., NY, 7/2/66.

[redacted] Miami Division discontinue efforts to locate [redacted]
[redacted] inasmuch as he has been located in Monteray,
California.b6
b7c3 - Bureau
2 - Miami
1 - New YorkJGW:ats
(7)

REC-27

46-51211-28

4 AUG 16 1966

56 AUG 24 1966

Approved: JFW
Special Agent in Charge

Sent _____ M Per _____

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE 9/9/66	INVESTIGATIVE PERIOD 7/15/66 - 8/30/66
TITLE OF CASE CHANGED [REDACTED] JOSEPH CALISE PETER FRANCIS CROSBY aka Francis Peter Crosby;		REPORT MADE BY JOHN G. WILKINSON, JR.	TYPED BY dhr b6 b7C
(CONTINUED ON COVER PAGE B)		FAG; MISCELLANEOUS-CIVIL SUIT	

The title of this case is marked "Changed" to include additional individuals and companies named in the civil complaints filed in SDNY.

REFERENCES:

New York report of SA JOHN G. WILKINSON, JR., 7/22/66.
New York airtel, 8/15/66.

- P -

LEADSNEW YORK

AT NEW YORK, NEW YORK. 1. Will follow civil proceedings.
2. Will obtain criminal prosecutive
opinion.

Case has been: Pending over one year ☒ Yes ☐ No; Pending prosecution over six months ☐ Yes ☒ No

APPROVED

SPECIAL AGENT
IN CHARGE

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2-New York (46-6700)

46-51211-29 MCT-41

12 SEP 12 1966

REC 31

FEDERAL BUREAU OF INVESTIGATION

Dissemination Record of Attached Report

Notations

Agency	1ccSBA 2ccRPO
Request Recd.	
Date Fwd.	11/7/66
How Fwd.	56 SEP 20 1966
By	CWF 9/16/66

STAT. SECT.

NY 46-6700

TITLE CONT'D

ALEXANDER EITMAN:

RAYMOND E. PIERSON;
CHARLES SHAPIRO;

STEWART WALLER;
FEDERAL INSURANCE COMPANY;
FRANKLIN NATIONAL BANK;
MORTON HELD AND COMPANY;
ROOSEVELT CAPITAL CORP.,
GARDEN CITY, NY

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b7c

COVER PAGE

- B* -

**UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION**

Copy to: 1-USA, SDNY (ATT: AUSA L. NEWMAN)
1-USA, SDNY (ATT: AUSA A. BLUMBERG)

Report of: JOHN G. WILKINSON, JR.
Date: SEP 9 1966

Office: New York, New York

Field Office File #: 46-6700

Bureau File #: 46-51211

Title:

[REDACTED]
JOSEPH CALISE;
PETER FRANCIS CROSBY;
ALEXANDER ELTMAN-

~~XXXXXX~~

[REDACTED]
RAYMOND E. PIERSON;
CHARLES SHAPIRO;

~~XXXXXX~~

[REDACTED]
STEWART WALLEN;
FEDERAL INSURANCE COMPANY;
FRANKLIN NATIONAL BANK;
MORTON HELD AND COMPANY;
ROOSEVELT CAPITAL CORPORATION,
GARDENCCITY, NEW YORK

Character: FRAUD AGAINST THE GOVERNMENT;
MISCELLANEOUS - CIVIL SUIT

Synopsis: [REDACTED] located in Monterey, California. AUSA, Civil Division, SDNY, made available copy of complaint filed on 7/8/66 against individuals and corporations, which is set forth.

- P -

DETAILS:

On July 15, 1966, [REDACTED]

[REDACTED] advised that [REDACTED] she has not heard from her husband.

On August 1, 1966, the Albany Division furnished information regarding an [REDACTED] who has a drivers license; however, this individual does not appear identical with the [REDACTED] being sought.

On July 21, 1966 Assistant United States Attorney ALAN BLUMBERG, Southern District of New York, made available complaint 66 Civ. 2026, filed July 8, 1966, which is as follows:

NY 46-6700

"UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK

"UNITED STATES OF AMERICA, and
MORTIMER TODEL, as Receiver of
the funds, assets and property
of Roosevelt Capital Corporation,

"Plaintiffs,

"v.

"PETER FRANCIS CROSBY, RAY E.
PIERSON, [REDACTED]

[REDACTED] STEWART WALLEN,
JOSEPH CALISE, CHARLES SHAPIRO.
ALEXANDER ELTMAN, [REDACTED]

[REDACTED] FRANKLIN
NATIONAL BANK, and MORTON HELD
& COMPANY,

"Defendants.

"Plaintiffs United States of America and
Mortimer Todel, as Receiver of the funds, assets and
property of Roosevelt Capital Corporation, for their
complaint against the above-named defendants, allege as
follows:

"1. Plaintiff Mortimer Todel is the duly
appointed Receiver of the funds, assets and property of
Roosevelt Capital Corporation, being appointed by order
of the Honorable Richard H. Levet, United States District
Judge, Southern District of New York, on March 5, 1965,
at the application of the United States in an action
entitled United States of America v. Roosevelt Capital
Corporation, 65 Civ. 162.

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NY 46-6700

"2. This Court has jurisdiction over the claims of plaintiff United States of America pursuant to 28 U.S.C. 1345 and 15 U.S.C. 687C. This Court has jurisdiction over the claims of plaintiff Mortimer Todel pursuant to 28 U.S.C. 1331 and on the ground that Mortimer Todel institutes this action in his capacity as Receiver, duly appointed by order of this Court and in order to accomplish the ends sought and directed in the action in which such appointment was made.

"3. Defendant Franklin National Bank is a corporation transacting business within the State of New York, and defendant Morton Held & Company is a partnership transacting business in the State of New York, all within the jurisdiction of this Court.

"4. All individual defendants, with the exception of Ray E. Pierson, [redacted] and Stewart Wallen, reside in the State of New York and within the jurisdiction of this Court. Defendants Pierson, [redacted] and Wallen transacted business within the State of New York, out of which the cause of action stated against said defendants arises.

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"5. Roosevelt Capital Corporation is a New York corporation licensed as a Small Business Investment Company by the Small Business Administration, which is an agency of the United States of America.

"6. On February 8, 1962, Roosevelt Capital Corporation issued to the Small Business Administration a debenture in the sum of \$150,000.

"7. Pursuant to said debenture, Roosevelt Capital Corporation is indebted to the United States of America in the sum of \$150,000 plus interest from February 8, 1964, at the rate of five percent per annum, which sum is in default and presently due and payable.

"8. The United States is the sole creditor of Roosevelt Capital Corporation known to plaintiffs.

NY 46-5700

"FIRST CLAIM--AGAINST DEFENDANTS
CROSBY, PIERSON, [REDACTED]
WALLEN AND CALISE:

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"9. On or about May 14, 1964, defendants Crosby and Pierson acquired, directly or indirectly, 100 percent of the outstanding common stock of Roosevelt Capital Corporation.

"10. On or about May 14, 1964, defendants Pierson, [REDACTED] Wallen and Calise were elected directors and officers of Roosevelt Capital Corporation.

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"11. On or about May 14, 1964, Roosevelt Capital Corporation had gross assets of approximately \$300,000 and was indebted to the United States in the sum of \$150,000, as alleged in paragraph 7.

"12. Thereafter, the defendants Crosby, Pierson, [REDACTED] Wallen and Calise conspired to and did cause all of the funds, assets and property of Roosevelt Capital Corporation to be wrongfully, wastefully, fraudulently and dishonestly disbursed, in violation of their fiduciary duties as stockholders, officers, directors and controlling parties, and in fraud of the Corporation's creditor, the United States of America.

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"13. Said defendants are liable to Roosevelt Capital Corporation in the sum of \$300,000, and/or to the United States of America in the sum of \$150,000, plus interest according to law.

"SECOND CLAIM--AGAINST DEFENDANTS SHAPIRO,
ELTMAN, BRISKIN AND TOLMAGE:

"14. Prior to May 14, 1964, defendants Shapiro, Eltman and [REDACTED] were the officers and directors of Roosevelt Capital Corporation, and the stockholders were as follows:

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NY 46-6700

<u>Name</u>	<u>Shares Held</u>
[REDACTED]	
Alexander Eltman	500
[REDACTED]	
Charles Shapiro	1,000
[REDACTED]	

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"15. On or about May 14, 1964, all said stockholders, acting in concert, sold their stock to defendants Crosby and Pierson, and defendants Shapiro, Eltman and [REDACTED] resigned as officers and directors. Defendant [REDACTED] was principal negotiator for said sale and acted as attorney and agent for all the selling stockholders.

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"16. Defendants Shapiro, Eltman, [REDACTED] and [REDACTED] failed to exercise their fiduciary duties in the sale to the said buyers, failed to notify the Small Business Administration of said sale at the proper time, and wrongfully concealed the said sale from the Small Business Administration.

NY 46-6700

"17. Such actions were a breach of the defendants' fiduciary duty (a) to Roosevelt Capital Corporation for which they are liable to the extent of \$3,000 and/or (b) to the United States of America for which they are liable to the extent of \$150,000 plus interest.

"THIRD CLAIM--AGAINST DEFENDANT
FRANKLIN NATIONAL BANK:

"18. On or about May 14, 1964, in connection with the sale of said stock referred to in paragraph 19, defendant Franklin National Bank advanced the sum of \$160,000 to defendants [] and Pierson by issuing two bank checks at their request in the amounts of \$118,000 and \$42,000, respectively.

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"19. The said Franklin National Bank thereafter knowingly obtained repayment of said advance with funds of Roosevelt Capital Corporation in the amount of \$160,000.

"20. Said repayment, by Roosevelt Capital Corporation, of the advance made to [] and Pierson, was improper and unlawful; and Franklin National Bank is liable to Roosevelt Capital Corporation in the sum of \$160,000 and/or to the United States of America in the sum of \$150,000, plus interest according to law.

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"FOURTH CLAIM--AGAINST DEFENDANT
MORTON HELD & COMPANY:

"21. On or about June 8, 1964, defendant Morton Held & Company, certified public accountants, certified to the stockholders and board of directors of Roosevelt Capital Corporation and to the Small Business Administration an annual report of Roosevelt Capital Corporation for the year ended March 31, 1964.

NY 46-6700

"22. Said certificate of Morton Held & Company was false and misleading and not in accordance with accepted accounting principles, in that (a) said certificate failed to disclose that, on or about May 14, 1964, all of the stock of Roosevelt Capital Corporation had been sold and the officers and directors previously approved by the Small Business Administration had resigned, and (b) the report certified by Morton Held & Company was signed by defendants Shapiro and Eltman at a time when they were no longer officers of Roosevelt Capital Corporation.

"23. Defendant Morton Held & Company had knowledge of the facts set forth in the preceding paragraph when it signed said certification.

"24. Defendant Morton Held & Company is liable to Roosevelt Capital Corporation in the sum of \$300,000 and/or to the United States of America in the sum of \$150,000 plus interest according to law.

"WHEREFORE, plaintiffs demand judgment against defendant Franklin National Bank in the sum of \$160,000, and against each of the remaining defendants herein, jointly and severally, in the sum of \$300,000 plus interest according to law, plus the costs and disbursements of this action.

"Dated: New York, New York
June , 1966.

"ROBERT M. MORGENTHAU
United States Attorney for the
Southern District of New York
Attorney for Plaintiff
United States of America

NY 46-6700

"Of Counsel:

"Philip F. Zeidman
General Counsel
Small Business
Administration

"By

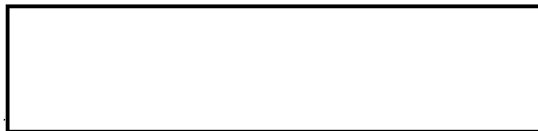
ALAN G. BLUMBERG
Assistant United States Attorney
Office and Post Office Address:
United States Courthouse
Foley Square
New York, New York
Tel.: 264-6328

"Roger L. Campbell
Assistant General Counsel
Small Business
Administration

MORTIMER TODEL
As Receiver of the funds,
assets and property of
Roosevelt Capital Corporation
Plaintiff pro se
Office and Post Office Address:
39 Broadway
New York, New York"

On August 13, 1966, [redacted] telephonically
contacted the New York Office of the Federal Bureau of Investigation
(FBI) from California and stated that he has just learned the
FBI is attempting to locate him. He said he is employed in
Monterey, California and he can be reached at the following
address if testimony is necessary in the future:

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On August 30, 1966, an attempt was made to contact
Assistant United States Attorney ALAN BLUMBERG, Southern District
of New York; however, it was determined he is presently on
vacation.

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE 10/26/66	INVESTIGATIVE PERIOD 9/9-10/25/66
TITLE OF CASE [REDACTED] ET AL		REPORT MADE BY JOHN G. WILKINSON, JR.	TYPED BY jmr
		CHARACTER OF CASE FAG; MISCELLANEOUS-CIVIL SUIT	b6 b7C

REFERENCE:

Report of SA JOHN G. WILKINSON, JR., dated
9/9/66 at New York.

- P -

LEADS:NEW YORK

AT NEW YORK, NEW YORK: 1. Will follow civil
proceedings.

2. Will obtain criminal prosecutive opinion.

Case has been: Pending over one year ☒ Yes ☐ No; Pending prosecution over six months ☐ Yes ☒ No

APPROVED

SPECIAL AGENT
IN CHARGE

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COPIES MADE:

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NEWMAN)
1- USA, SDNY (ATT: AUSA A.
BLUMBERG)
2- New York (46-6700)

46-51211-30

REC- 61

OCT 27 1966

EX-114

Dissemination Record of Attached Report

Agency	1-SBA 2-RAO		
Request Recd.			
Date Fwd.	2/2		
How Fwd.			
By	61 NOV 10 1966		

Notations

STAT SECT.

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to: 1- USA, SDNY (ATT: AUSA L. NEWMAN)
1- USA, SDNY (ATT: AUSA A. BLUMBERG)

Report of: JOHN G. WILKINSON, JR. Office: New York, New York
Date: 10/26/66

Field Office File #: 46-6700 Bureau File #: 46-51211

Title: ET AL

b6
b7C

Character: FRAUD AGAINST THE GOVERNMENT;
MISCELLANEOUS - CIVIL SUIT

Synopsis:

AUSA, Civil Division, SDNY, advises civil proceedings continuing.

- P -

DETAILS:

On September 9, 13 and October 25, 1966, the facts of this case were discussed with Assistant United States Attorney (AUSA) ALAN BLUMBERG, Civil Division, Southern District of New York, who advised that civil proceedings in this matter are continuing.

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FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE 12/13/66	INVESTIGATIVE PERIOD 12/12/66
TITLE OF CASE [Redacted] ET AL		REPORT MADE BY JOHN G. WILKINSON, JR.	TYPED BY pcc b6 b7C
		CHARACTER OF CASE FAG; MISCELLANEOUS - CIVIL SUIT	

REFERENCE

Report of SA JOHN G. WILKINSON, Jr.,
dated 10/26/66 at New York. 30

- P -

LEADSNEW YORK

AT NEW YORK, NEW YORK 1. Will follow civil proceedings.

2. Will obtain criminal prosecutive opinion.

Case has been: Pending over one year ☒ Yes ☐ No; Pending prosecution over six months ☐ Yes ☒ No

APPROVED <i>[Signature]</i>	SPECIAL AGENT IN CHARGE	DO NOT WRITE IN SPACES BELOW	
COPIES MADE:		46-51211-31	REC-8
4 - Bureau (46-51211)		EX-103	
1 - USA, SDNY (Att: AUSA L. NEWMAN)		DEC 14 1966	
1 - USA, SDNY (Att: AUSA A. BLUMBERG)			
2 - New York (46-6700)			
Dissemination Record of Attached Report		Notations	
Agency	1-SBA 2-RRA	STAT. SECT.	
Request Recd.			
Date Fwd.	DEC 20 1966		
How Fwd.			
By			

CWL: [Signature]
12/19/66
COVER PAGE

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to:

1 - USA, SDNY (Att: AUSA L. NEWMAN)
1 - USA, SDNY (Att: AUSA A. BLUMBERG)

Report of:
Date:

JOHN G. WILKINSON, JR.
12/13/66

Office:

New York, New York

Field Office File #:

46-6700

Bureau File #:

46-51211

Title:

ET AL

b6
b7C

Character:

FAG;
MISCELLANEOUS - CIVIL SUIT

Synopsis:

AUSA, Civil Division, SDNY, advises three motions are pending and he is awaiting court rulings regarding them.

- P -

DETAILS

On December 12, 1966, Assistant United States Attorney ALAN BLUMBERG, Civil Division, Southern District of New York, advised that three motions in this case are pending before the court and he is awaiting decisions regarding them, before continuation of civil proceedings.

- 1* -

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE 1/25/67	INVESTIGATIVE PERIOD 1/24/67
TITLE OF CASE <div style="border: 1px solid black; width: 150px; height: 20px; display: inline-block;"></div> ET AL		REPORT MADE BY JOHN G. WILKINSON, JR.	TYPED BY jmr <small>b6</small>
		CHARACTER OF CASE FAG; MISCELLANEOUS - CIVIL SUIT <small>b7C</small>	

REFERENCE:

Report of SA JOHN G. WILKINSON, JR., dated
12/13/66 at New York. *31*

- P -

LEADS:**NEW YORK**

AT NEW YORK, NEW YORK. 1. Will follow civil proceedings.

2. Will obtain criminal prosecutive opinion.

Case has been: Pending over one year ☒ Yes ☐ No; Pending prosecution over six months ☐ Yes ☒ No

APPROVED <i>JFM</i> SPECIAL AGENT IN CHARGE COPIES MADE: 4- Bureau (46-51211) 1- USA, SDNY (ATT: AUSA L. NEWMAN) 1- USA, SDNY (ATT: AUSA A. BLUMBERG) 2- New York (46-6700)	DO NOT WRITE IN SPACES BELOW <div style="font-size: 2em; font-weight: bold; text-align: center;">46-51211-32</div> <div style="text-align: right; font-weight: bold;">REC 32</div> <div style="text-align: center; margin-top: 20px;">12 JAN 27 1967</div> <div style="text-align: right; font-weight: bold; margin-top: 20px;">ST-123</div>
Dissemination Record of Attached Report	
Agency <i>1-SBA 2-RAO</i> Request Recd. Date Fwd. <i>F3/82</i> How Fwd. <i>70 FEB 8 1967</i> By <i>CWL</i>	Notations <div style="text-align: center; font-size: 1.5em; font-weight: bold;">2/3/67</div>

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to: 1- USA, SDNY (ATT: AUSA L. NEWMAN)
1- USA, SDNY (ATT: AUSA A. BLUMBERG)

Report of: JOHN G. WILKINSON, JR. Office: New York, New York
Date: 1/25/67

Field Office File #: 46-6700 Bureau File #: 46-51211

Title: ET AL

b6
b7c

Character: FRAUD AGAINST THE GOVERNMENT; MISCELLANEOUS-
CIVIL SUIT

Synopsis:

AUSA, SDNY, advises USDJ dismissed suit against Defendant Franklin National Bank, and ruled that suit against bank should be instituted in EDNY, Brooklyn, N.Y. Civil proceedings continuing.

- P -

DETAILS:

On January 24, 1967, Assistant United States Attorney ALAN BLUMBERG, Civil Division, Southern District of New York, advised that a United States District Judge, Southern District of New York, has dismissed the suit against Defendant Franklin National Bank and ruled that the suit should be instituted against the bank in the Eastern District of New York, Brooklyn, New York. He said civil proceedings in this matter are continuing.

-1*-

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE 3/17/67	INVESTIGATIVE PERIOD 3/2/67
TITLE OF CASE [REDACTED] ET AL		REPORT MADE BY JOHN G. WILKINSON, JR.	TYPED BY jmr
		CHARACTER OF CASE FAG; MISCELLANEOUS-CIVIL SUIT	

b6
b7CREFERENCE:

Report of SA JOHN G. WILKINSON, JR., dated 1/25/67³²
at New York.

- P -

LEADS:NEW YORK

AT NEW YORK, NEW YORK. 1. Will follow civil
proceedings.

2. Will obtain criminal prosecutive opinion.

Case has been: Pending over one year ☒ Yes ☐ No; Pending prosecution over six months ☐ Yes ☒ No

APPROVED <i>JFM</i> <i>ry</i>	SPECIAL AGENT IN CHARGE	DO NOT WRITE IN SPACES BELOW	
COPIES MADE: 4- Bureau (46-51211) 1- USA, SDNY (ATT: AUSA L. NEWMAN) 1- USA, SDNY (ATT: AUSA A. BLUMBERG) 2- New York (46-6700)		46-51211-33	REC 30
		14 MAR 20 1967	
Dissemination Record of Attached Report		Notations	
Agency	1-SBA 2-KRO		
Request Re			
Date Fwd.	51 MAR 28 1967		
How Fwd.	CWL		
By	3/27/67	STAT. SECT.	

-A*- COVER PAGE

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to: 1- USA, SDNY (ATT: AUSA L. NEWMAN)
1- USA, SDNY (ATT: AUSA A. BLUMBERG)

Report of: JOHN G. WILKINSON, JR. Office: New York, New York
Date: 3/17/67

Field Office File #: 46-6700 Bureau File #: 46-51211

Title: ET AL

b6
b7C

Character: FRAUD AGAINST THE GOVERNMENT; MISCELLANEOUS-
CIVIL SUIT

Synopsis: AUSA, SDNY advises civil proceedings continuing.

- P -

DETAILS:

On March 2, 1967, Assistant United States Attorney ALAN BLUMBERG, Civil Division, Southern District of New York, advised that civil proceedings in this matter are continuing.

-1*-

26
FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE 4/20/67	INVESTIGATIVE PERIOD 4/19/67
TITLE OF CASE <div style="border: 1px solid black; width: 200px; height: 20px; margin: 5px 0;"></div> ET AL		REPORT MADE BY JOHN G. WILKINSON, JR.	TYPED BY jmr
		CHARACTER OF CASE FAG; MISCELLANEOUS-CIVIL SUIT	

REFERENCE:

33
Report of SA JOHN G. WILKINSON, JR., dated
3/17/67 at New York.

- P -

LEADS:NEW YORK

AT NEW YORK, NEW YORK. 1. Will follow civil proceedings.

2. Will obtain priminal prosecutive opinion.

Case has been: Pending over one year ☒ Yes ☐ No; Pending prosecution over six months ☐ Yes ☒ No

APPROVED COPIES MADE:	SPECIAL AGENT IN CHARGE	DO NOT WRITE IN SPACES BELOW	
4- Bureau (46-51211) 1- USA, SDNY (ATT: AUSA L. NEWMAN) 1- USA, SDNY (ATT: AUSA A. BLUMBERG) 2- New York (46-6700)		46-51211-34	REC-43
		18 APR 21 1967	
Dissemination Record of Attached Report		Notations	
Agency	1-SBH 2-RAO	EX 109 [Handwritten signatures and stamps]	
Request Recd.			
Date Fwd.			
How Fwd.			
By	62 MAY 8 1967	FJB: [Signature] 5/3/67	

-A*- COVER PAGE

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to: 1- USA, SDNY (ATT: AUSA L. NEWMAN)
1- USA, SDNY (ATT: AUSA A. BLUMBERG)

Report of: JOHN G. WILKINSON, JR. Office: New York, New York
Date: 4/20/67

Field Office File #: 46-6700 Bureau File #: 46-51211

Title: ET AL

b6
b7C

Character: FRAUD AGAINST THE GOVERNMENT;
MISCELLANEOUS-CIVIL SUIT

Synopsis: AUSA, Civil Division, SDNY, advises civil proceedings
continuing.

-P-

DETAILS:

On April 19, 1967, Assistant United States Attorney
ALAN BLUMBERG, Civil Division, Southern District of New York,
advised that civil proceedings in this matter are
continuing.

-1*-

7
FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE 6/30/67	INVESTIGATIVE PERIOD 6/29/67
TITLE OF CASE ET AL		REPORT MADE BY O. EUGENE SMITH	TYPED BY ats
		CHARACTER OF CASE FAG; MISCELLANEOUS - CIVIL SUIT	

mm
REFERENCE:

Report of SA JOHN G. WILKINSON, JR., dated 4/20³⁴/67
at NY.

-P-

LEADNEW YORKAT NEW YORK, NEW YORK.

1. Will follow civil proceedings.
2. Will obtain criminal prosecutive opinion.

Case has been: Pending over one year ☒ Yes ☐ No; Pending prosecution over six months ☐ Yes ☒ No

APPROVED <i>[Signature]</i>	SPECIAL AGENT IN CHARGE	DO NOT WRITE IN SPACES BELOW	REC-7
COPIES MADE: 4 - Bureau (46-51211) 1 - USA, SDNY (ATT: AUSA NEWMAN) 1 - USA, SDNY (ATT: AUSA BLUMBERG) 2 - New York (46-6700)		46-51211-35 JUL 3 1967	EX-113

Dissemination Record of Attached Report				Notations
Agency	ISBA 2-RAD			<i>[Signature]</i> STAT SECT.
Request Recd.				
Date Fwd.				
How Fwd.				
By	55 JUL 14 1967	7/13/67		
-A*-				
COVER PAGE				

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to:

1 - USA, SDNY (ATT: AUSA L. NEWMAN)
1 - USA, SDNY (ATT: AUSA A. BLUMBERG)

Report of:

O. EUGENE SMITH

Office: New York, New York

Date:

6/30/67

Field Office File #:

46-6700

Bureau File #: 46-51211

Title:

ET AL

b6
b7C

Character:

FRAUD AGAINST THE GOVERNMENT;
MISCELLANEOUS - CIVIL SUIT

Synopsis:

AUSA advised civil proceedings continuing.

-P-

DETAILS:

On June 29, 1967, Assistant United States Attorney ALAN BLUMBERG, Southern District of New York, advised that civil proceedings in this matter are continuing.

-1*-

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE 8/30/67	INVESTIGATIVE PERIOD 7/21 - 8/23/67
TITLE OF CASE <div style="border: 1px solid black; width: 150px; height: 20px; margin: 5px 0;"></div> ET AL		REPORT MADE BY O. EUGENE SMITH	TYPED BY mm1
		CHARACTER OF CASE FAG; MISCELLANEOUS - CIVIL SUIT	

REFERENCE:

Report of SA O. EUGENE SMITH, dated 6/30³⁵/67, at New York.

- P -

LEAD:NEW YORK

AT NEW YORK, NEW YORK. 1. Will follow civil proceedings.
2. Will obtain criminal prosecutive opinion.

Case has been: Pending over one year ☒ Yes ☐ No; Pending prosecution over six months ☐ Yes ☒ No

APPROVED

SPECIAL AGENT
IN CHARGE

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COPIES MADE:

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1 - USA, SDNY (Att: AUSA NEWMAN)
1 - USA, SDNY (Att: AUSA BLUMBERG)
2 - New York (46-6700)

46-51211-36

REC- 15

EX-103

15 SEP 1 1967

Dissemination Record of Attached Report

Agency	1cc SBA	2cc RAO	
Request Recd.			
Date Fwd.			
How Fwd.			
By			

Notations

STRICTLY CONFIDENTIAL

CWL
9/11/67

COVER PAGE

53 SEP 12 1967

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to:

1 - USA, SDNY (Att: AUSA L. NEWMAN)
1 - USA, SDNY (Att: AUSA A. BLUMBERG)

Report of:

O. EUGENE SMITH

Office:

New York, New York

Date:

8/30/67

Field Office File #:

46-6700

Bureau File #:

46-51211

Title:

ET ALb6
b7C

Character:

FRAUD AGAINST THE GOVERNMENT
MISCELLANEOUS - CIVIL SUIT

Synopsis:

AUSA advised civil proceedings continuing.

- P -

DETAILS:

On August 22, 1967, Assistant United States Attorney ALAN BLUMBERG, Southern District of New York, advised that civil proceedings in this matter are continuing.

On August 23, 1967, Assistant United States Attorney LAWRENCE NEWMAN, Southern District of New York, advised that he is going to review this case and discuss same with Assistant United States Attorney BLUMBERG after which time he will render a criminal prosecutive opinion.

- 1* -

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE OCT 12 1967	INVESTIGATIVE PERIOD 9/20 - 10/2/67
TITLE OF CASE <div style="border: 1px solid black; width: 150px; height: 20px; margin: 5px 0;"></div> ET AL		REPORT MADE BY O. EUGENE SMITH	TYPED BY mgm
		CHARACTER OF CASE FAG; MISCELLANEOUS - CIVIL SUIT	

b6
b7CREFERENCE

New York report of SA O. EUGENE SMITH dated 8/30/67.

- P -

LEADSNEW YORK

AT NEW YORK, NEW YORK. Will follow civil proceedings.

2) Will obtain criminal prosecutive opinion.

ACCOMPLISHMENTS CLAIMED NONE						ACQUIT- TALS	CASE HAS BEEN:			
CONVIC.	AUTO.	FUG.	FINES	SAVINGS	RECOVERIES		PENDING OVER ONE YEAR <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO PENDING PROSECUTION OVER SIX MONTHS <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO			
APPROVED COPIES MADE: <div style="margin-left: 20px;"> ① - Bureau (46-51211) 1 - USA, SDNY (ATT: AUSA NEWMAN) 1 - USA, SDNY (ATT: AUSA BLUMBERG) 2 - New York (46-6700) </div>						SPECIAL AGENT IN CHARGE <div style="margin-left: 20px;"> 46-51211-37 OCT 16 1967 </div>			DO NOT WRITE IN SPACES BELOW <div style="margin-left: 20px;"> REC 23 EX 106 </div>	
Dissemination Record of Attached Report.						Notations				
Agency	1-SBA 2-RAO					<div style="text-align: center;"> CWL 10/18/67 </div>				
Request Recd.										
Date Fwd.										
How Fwd.										
By	53 OCT 19 1967									

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to: 1 - USA, SDNY (ATT: AUSA L. NEWMAN)
1 - USA, SDNY (ATT: AUSA A. BLUMBERG)

Report of: O. EUGENE SMITH Office: New York, New York
Date: OCT 12 1967

Field Office File #: 46-6700 Bureau File #: 46-51211

Title:
ET AL

b6
b7C

Character: FRAUD AGAINST THE GOVERNMENT
MISCELLANEOUS - CIVIL SUIT

Synopsis: AUSA advised civil proceedings continuing.

- P -

DETAILS:

On October 2, 1967, Assistant United States Attorney (AUSA) ALAN BLUMBERG, Southern District of New York (SDNY), advised that civil proceedings are continuing in this matter.

On October 2, 1967, AUSA LAWRENCE NEWMAN, SDNY, advised that he has not had the opportunity to date to discuss this matter with AUSA BLUMBERG. He advised he expects to do this in the near future after which time he will render a criminal prosecutive opinion.

*

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE 11/17/67	INVESTIGATIVE PERIOD 10/19 - 11/16/67
TITLE OF CASE [REDACTED] ET AL		REPORT MADE BY O. EUGENE SMITH	TYPED BY ptp
		CHARACTER OF CASE FAG; MISCELLANEOUS - CIVIL SUIT	

REFERENCE

Report of SA O. EUGENE SMITH dated 10/12/67³¹, at New York.

- P -

LEADNEW YORK

AT NEW YORK, NEW YORK. Will follow civil proceedings.
2. Will obtain criminal prosecution opinion.

ACCOMPLISHMENTS: NONE

Case has been: Pending over one year ☒ Yes ☐ No; Pending prosecution over six months ☐ Yes ☒ No

APPROVED

SPECIAL AGENT
IN CHARGE

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COPIES MADE:

4- Bureau (46-51211)

1- USA, SDNY (ATT: AUSA NEWMAN)

1- USA, SDNY (ATT: AUSA BLUMBERG)

2- New York (46-6700)

46-51211-38

REC-44

12 NOV 22 1967

EX-103

Dissemination Record of Attached Report

Notations

Agency	1cc SBA	2cc RAO
Request Recd.		
Date Fwd.		
How Fwd.		
By	55 NOV 31 1967	CWL

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STAT. SECT.

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to: 1- USA, SDNY (ATT: AUSA L. NEWMAN)
1- USA, SDNY (ATT: AUSA A. BLUMBERG)

Report of: O. EUGENE SMITH Office: New York, New York
Date: 11/17/67

Field Office File #: 46-6700 Bureau File #: 46-51211

Title:
ET AL

Character: FRAUD AGAINST THE GOVERNMENT;
MISCELLANEOUS - CIVIL SUIT

Synopsis: AUSA advised civil proceedings continuing.

b6
b7C

- P -

DETAILS:

On November 16, 1967, Assistant United States Attorney ALAN BLUMBERG, Southern District of New York, advised that civil proceedings are continuing in this matter.

On November 16, 1967, Assistant United States Attorney LAWRENCE NEWMAN, Southern District of New York, advised that he desires to discuss this matter further with Assistant United States Attorney ALAN BLUMBERG after which time he will render a criminal prosecutive opinion.

- 1* -

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE 1/30/68	INVESTIGATIVE PERIOD 12/14/67 - 1/29/68
TITLE OF CASE ET AL		REPORT MADE BY O. EUGENE SMITH	TYPED BY RAR b6 b7C
		CHARACTER OF CASE FAG; MISCELLANEOUS - CIVIL SUIT	

REFERENCE:

Report of SA O. EUGENE SMITH dated 11/17³⁸/67 at NY

- P -

LEADNEW YORKAT NEW YORK, NEW YORK

1. Will follow civil proceedings.
2. Will obtain criminal procecutive opinion.

ACCOMPLISHMENTS CLAIMED NONE						ACQUIT- TALS	CASE HAS BEEN:	
CONVIC.	AUTO.	FUG.	FINES	SAVINGS	RECOVERIES		PENDING OVER ONE YEAR	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
							PENDING PROSECUTION OVER SIX MONTHS	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
APPROVED COPIES MADE: ④ - Bureau (46-51211) 1 - USA, SDNY (ATT: AUSA NEWMAN) 1 - USA, SDNY (ATT: AUSA BLUMBERG) 2 - NEW YORK (46-6700)						SPECIAL AGENT IN CHARGE		
						DO NOT WRITE IN SPACES BELOW		
						46-51211-39		
						15 JAN 31 1968		
						REC-75		
						EX-102		
Dissemination Record of Attached Report						Notations		
Agency	1 cc SBA		2 cc RAO					
Request Recd.								
Date Fwd.								
How Fwd.								
By	127				FJB: d 2/9/68			
51 FEB 12 1968								
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UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to: 1 - USA, SDNY (ATT: AUSA L. NEWMAN)
1 - USA, SDNY (ATT: AUSA A. BLUMBERG)

Report of: O. EUGENE SMITH Office: NEW YORK, NEW YORK
Date: 1/30/68

Field Office File #: 46-6700 Bureau File #: 46-51211

Title:
ET AL

b6
b7C

Character: FRAUD AGAINST THE GOVERNMENT
MISCELLANEOUS - CIVIL SUIT

Synopsis: AUSA advised civil proceedings continuing.

- P -

DETAILS:

On January 29, 1968, Assistant United States Attorney (AUSA) ALAN BLUMBERG, Southern District of New York (SDNY), advised that civil proceedings are continuing in this matter.

AUSA LAWRENCE NEWMAN, SDNY, was contacted on December 14, 1967, January 9 and 29, 1968. On the latter date AUSA NEWMAN advised that due to trial in another matter he has been unable to complete a review of this case in connection with rendering a prosecutive opinion. He requested that he be recontacted at a later date for a prosecutive opinion.

- 1* -

3
FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE 3/28/68	INVESTIGATIVE PERIOD 3/1 - 3/20/68
TITLE OF CASE ET AL AKA ARTHUR V. BRISKIN ET AL		REPORT MADE BY O. EUGENE SMITH	TYPED BY prt
		CHARACTER OF CASE FAG; MISCELLANEOUS - CIVIL SUIT	

REFERENCE: Report of SA O. EUGENE SMITH dated 1/30/68 at NY

- P -

ADMINISTRATIVE:LEADNEW YORKAT NEW YORK, NEW YORK

1. Will follow civil proceedings.
2. Will obtain criminal prosecutive opinion.

ACCOMPLISHMENTS CLAIMED						NONE	ACQUIT- TALS	CASE HAS BEEN: PENDING OVER ONE YEAR <input type="checkbox"/> YES <input type="checkbox"/> NO PENDING PROSECUTION OVER SIX MONTHS <input type="checkbox"/> YES <input type="checkbox"/> NO
CONVIC.	AUTO.	FUG.	FINES	SAVINGS	RECOVERIES			

APPROVED

COPIES MADE:

- ④ - Bureau (46-51211)
 1 - USA, SDNY (ATT: AUSA NEWMAN)
 1 - USA, SDNY (ATT: AUSA BLUMBERG)
 2 - New York (46-6700)

SPECIAL AGENT
IN CHARGE

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46-51211 40

REC 10

2 APR 1 1968

EX-103

MCT-141

Dissemination Record of Attached Report			
Agency	1cc SBA	2cc RAO	
Request Recd.			
Date Fwd.	71		
How Fwd.			
By			

Notations

SIX
STAT SECT.

66 APR 10 1968

F.T.B.
4/9/68
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UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to: 1 - USA, SDNY (ATT: AUSA L. NEWMAN)
1 - USA, SDNY (ATT: AUSA A. BLUMBERG)

Report of: O. EUGENE SMITH
Date: 3/28/68

Office: NEW YORK, NEW YORK

Field Office File #: 46-6700

Bureau File #: 46-51211

Title:

ET AL

b6
b7C

Character: FRAUD AGAINST THE GOVERNMENT
MISCELLANEOUS - CIVIL SUIT

Synopsis: AUSA advised civil proceedings continuing. Credit information re ARTHUR BRISKIN, CHARLES SHAPIRO, and Braco Associates, Inc., set forth.

- P -

DETAILS:

On March 11, 1968 Assistant United States Attorney ALAN G. BLUMBERG, Southern District of New York, advised that civil proceedings in this matter are continuing. He requested that a credit check be made on defendants [REDACTED] CHARLES SHAPIRO, ALEXANDER ELTMAN and [REDACTED]

b6
b7C

On March 18, 1968 PAULINE DE FLORE, Clerk, Credit Bureau of Greater New York, New York, New York furnished the following information to IC JOHN L. KAPP from the records of the Credit Bureau:

b6
b7C

NY 46-6700

CHARLES SHAPIRO, Sycamore Drive, Sands Point, New York is associated with Charles Shapiro Associates, Real Estate, 15 Park Avenue and 600 Old Country Road, Garden City New York.

No record could be located identifiable with ALEXANDER ELTMAN or

b6
b7C

A Credit Agency which gathers information pertaining to businesses in the New York City area furnished the following information on March 20, 1968:

NY 46-6700

No Information identifiable with Charles Shapiro
Associates could be located in the files of the Credit Agency.

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE MAY 17 1968	INVESTIGATIVE PERIOD 4/12 - 5/14/68
TITLE OF CASE <div style="border: 1px solid black; width: 150px; height: 20px; margin: 5px 0;"></div> ET AL		REPORT MADE BY O. EUGENE SMITH	TYPED BY pal
		CHARACTER OF CASE FAG; MISCELLANEOUS - CIVIL SUIT	

b6
b7CREFERENCE:Report of SA O. EUGENE SMITH dated ⁴⁰3/28/68, at NY.

- P -

LEAD:NEW YORKAT NEW YORK, NEW YORK. 1. Will follow civil proceedings.

2. Will obtain criminal prosecutive opinion.

ACCOMPLISHMENTS CLAIMED						NONE	ACQUIT-TALS	CASE HAS BEEN: PENDING OVER ONE YEAR <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO PENDING PROSECUTION OVER SIX MONTHS <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
CONVIC.	AUTO.	FUG.	FINES	SAVINGS	RECOVERIES			
APPROVED <i>[Signature]</i> COPIES MADE: ④ - Bureau (46-51211) 1 - USA, SDNY (ATTN: NEWMAN) 1 - USA, SDNY (ATTN: BLUMBERG) 2 - New York (46-6700)							SPECIAL AGENT IN CHARGE	
DO NOT WRITE IN SPACES BELOW 46-51211-41 14 MAY 20 1968 REC-21 EX 27								
Dissemination Record of Attached Report							Notations	
Agency	1cc SBA 2cc RPO						<div style="border: 1px solid black; padding: 5px; display: inline-block;">STAT. SECT.</div>	
Request Recd.								
Date Fwd.								
How Fwd.								
By								

62 MAY 31 1968

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UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to: 1 - USA, SDNY (ATTN: NEWMAN)
1 - USA, SDNY (ATTN: BLUMBERG)

Report of: O. EUGENE SMITH
Date: MAY 17 1968

Office: New York, New York

Field Office File #: 46-6700

Bureau File #: 46-51211

Title: ET AL

b6
b7C

Character: FRAUD AGAINST THE GOVERNMENT;
MISCELLANEOUS - CIVIL SUIT

Synopsis: AUSA BLUMBERG advised civil proceedings continuing.
AUSA NEWMAN advised he desired to review this matter
further prior to rendering criminal prosecutive opinion.

- P -

DETAILS:

On May 13, 1968, Assistant United States Attorney (AUSA) LAWRENCE W. NEWMAN, Southern District of New York (SDNY) advised that he desired to review this case further and discuss this matter with AUSA ALAN G. BLUMBERG prior to rendering a criminal prosecutive opinion.

On May 14, 1968, AUSA ALAN G. BLUMBERG, SDNY, advised that civil proceedings in this matter are continuing.

- 1* -

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE 7/30/68	INVESTIGATIVE PERIOD 6/11 - 7/26/68
TITLE OF CASE [REDACTED] ET AL		REPORT MADE BY O. EUGENE SMITH	TYPED BY oes
		CHARACTER OF CASE FAG; MISCELLANEOUS - CIVIL SUIT	

REFERENCE:Report of SA O. EUGENE SMITH dated 5/17/68⁴¹ at New York

- P -

LEAD:NEW YORKAT NEW YORK, NEW YORK.

1. Will follow civil proceedings.
2. Will obtain criminal prosecutive opinion.

ACCOMPLISHMENTS CLAIMED NONE						ACQUIT- TALS	CASE HAS BEEN: PENDING OVER ONE YEAR <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO PENDING PROSECUTION OVER SIX MONTHS <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
CONVIC.	AUTO.	FUG.	FINES	SAVINGS	RECOVERIES		

APPROVED <i>J. E. [Signature]</i>	SPECIAL AGENT IN CHARGE	DO NOT WRITE IN SPACES BELOW			
COPIES MADE: ④ - Bureau (46-51211) 1 - USA, SDNY (ATTN: NEWMAN) 1 - USA, SDNY (ATTN: BLUMBERG) 2 - New York (46-6700)		46-51211-42	REC 82		
		25 AUG 2 1968	EX-103		

Dissemination Record of Attached Report				Notations	
Agency	1 cc SBA	2 cc RAO			
Request Recd.					
Date Fwd.					
How Fwd.	43			JS: [Signature] 8/13/68	

53 AUG 13 1968

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UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to:

1 - USA, SDNY (ATTN: NEWMAN)
1 - USA, SDNY (ATTN: BLUMBERG)Report of:
Date:O. EUGENE SMITH
7/30/68

Office: New York, New York

Field Office File #: 46-6700

Bureau File #: 46-51211

Title:

 ET ALb6
b7C

Character:

FRAUD AGAINST THE GOVERNMENT;
MISCELLANEOUS - CIVIL SUIT

Synopsis:

AUSA NEWMAN advised he desired to review this matter further prior to rendering criminal prosecutive opinion.

- P -

DETAILS:

On July 26, 1968, Assistant United States Attorney LAWRENCE W. NEWMAN, Southern District of New York, advised that he desired to review this case further and discuss this matter with AUSA ALAN G. BLUMBERG prior to rendering a criminal prosecutive opinion.

On July 26, 1968, it was determined that Assistant United States Attorney ALAN G. BLUMBERG, Southern District of New York, is currently on annual leave and due to return to work on August 5, 1968.

- 1* -

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE 9/27/68	INVESTIGATIVE PERIOD 8/27 - 9/24/68
TITLE OF CASE ET AL		REPORT MADE BY O. EUGENE SMITH	TYPED BY oes b6 b7C
		CHARACTER OF CASE FAG; MISCELLANEOUS - CIVIL SUIT	

REFERENCE:

Report of SA O. EUGENE SMITH dated 7/30/68 at New York

- P -

OI NY - 70-4-68

Report submitted 9-27-68

LEAD:NEW YORKAT NEW YORK, NEW YORK.

1. Will follow civil proceedings.
2. Will obtain criminal prosecutive opinion.

ACCOMPLISHMENTS CLAIMED					NONE		ACQUIT-TALS	CASE HAS BEEN:
CONVIC.	AUTO.	FUG.	FINES	SAVINGS	RECOVERIES			
								PENDING OVER ONE YEAR <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO PENDING PROSECUTION OVER SIX MONTHS <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO

APPROVED

SPECIAL AGENT
IN CHARGE

DO NOT WRITE IN SPACES BELOW

COPIES MADE

- ④ - Bureau (46-51211)
 1 - USA, SDNY (ATTN: NEWMAN)
 1 - USA, SDNY (ATTN: BLUMBERG)
 2 - New York (46-6700)

46-51211-43	EX-100
16 OCT 1 1968	REC 46

Dissemination Record of Attached Report			
Agency	1cc SBA	2cc RAO	
Request Recd.			
Date Fwd.			
How Fwd.			

Notations

STAT. SECT.

53 OCT 11 1968

COVER PAGE A*

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to:

1 - USA, SDNY (ATTN: NEWMAN)
1 - USA, SDNY (ATTN: BLUMBERG)

Report of:

O. EUGENE SMITH

Office: New York, New York

Date:

9/27/68

Field Office File #: 46-6700

Bureau File #: 46-51211

Title:

 ET AL.b6
b7C

Character:

FRAUD AGAINST THE GOVERNMENT;
MISCELLANEOUS - CIVIL SUIT

Synopsis:

AUSA NEWMAN advised he desired to review this matter further prior to rendering criminal prosecutive opinion.

- P -

DETAILS:

On September 24, 1968, Assistant United States Attorney LAWRENCE W. NEWMAN, Southern District of New York, advised that he desired to review this case further and discuss this matter with AUSA ALAN G. BLUMBERG prior to rendering a criminal prosecutive opinion.

- 1* -

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE 11/25/68	INVESTIGATIVE PERIOD 10/25 - 11/22/68
TITLE OF CASE ET AL		REPORT MADE BY O. EUGENE SMITH	TYPED BY oes
		CHARACTER OF CASE FAG; MISCELLANEOUS - CIVIL SUIT	b6 b7C

REFERENCE:

Report of SA O. EUGENE SMITH dated 9/27/68 at New York.

- P -

LEAD:

NEW YORK

AT NEW YORK, NEW YORK.

1. Will follow civil proceedings.
2. Will obtain criminal prosecutive opinion.

ACCOMPLISHMENTS CLAIMED						<input checked="" type="checkbox"/> NONE	ACQUIT- TALS	CASE HAS BEEN:	
CONVIC.	AUTO.	FUG.	FINES	SAVINGS	RECOVERIES			PENDING OVER ONE YEAR	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
								PENDING PROSECUTION OVER SIX MONTHS	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
APPROVED						SPECIAL AGENT IN CHARGE		DO NOT WRITE IN SPACES BELOW	
COPIES MADE:								46-51211-44	
④ - Bureau (46-51211)								22 NOV 26 1968	
1 - USA, SDNY (ATTN: NEWMAN)								REC-76	
1 - USA, SDNY (ATTN: BLUMBERG)								151-124	
2 - New York (46-6700)									
Dissemination Record of Attached Report						Notations			
Agency	In SBA - 2u RAO					<div style="text-align: center;"> <p>STAT/SECT.</p> <p>12/3/68</p> </div>			
Request Recd.									
Date Recd.	54 DEC 5 1968								
How Fwd.									
By									

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to: 1 - USA, SDNY (ATTN: NEWMAN)
1 - USA, SDNY (ATTN: BLUMBERG)

Report of: O. EUGENE SMITH
Date: 11/25/68

Office: NEW YORK, NEW YORK

Field Office File #: 46-6700

Bureau File #: 46-51211

Title: ET AL

b6
b7C

Character: FRAUD AGAINST THE GOVERNMENT;
MISCELLANEOUS - CIVIL SUIT

Synopsis: AUSA NEWMAN advised he desired to review this matter further prior to rendering criminal prosecutive opinion.

- P -

DETAILS:

On November 22, 1968, Assistant United States Attorney LAWRENCE W. NEWMAN, Southern District of New York, advised that he desired to review this case further and discuss this matter with AUSA STEPHEN KAUFMAN prior to rendering a criminal prosecutive opinion.

- 1* -

31 -
FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE JAN 24 1969	INVESTIGATIVE PERIOD 12/19/68-1/21/69
TITLE OF CASE [REDACTED] ET AL		REPORT MADE BY O. EUGENE SMITH	TYPED BY mprb6 b7C
		CHARACTER OF CASE FAG; MISCELLANEOUS-CIVIL SUIT	

mick
REFERENCE:

Report of SA O. EUGENE SMITH, 11/25/68 at New York

-P-

LEAD:NEW YORK

AT NEW YORK, NEW YORK. 1. Will follow civil proceedings.

2. Will obtain criminal prosecutive opinion.

ACCOMPLISHMENTS CLAIMED						<input checked="" type="checkbox"/> NONE	ACQUIT- TALS	CASE HAS BEEN: PENDING OVER ONE YEAR <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO PENDING PROSECUTION OVER SIX MONTHS <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
CONVIC	AUTO.	FUG.	FINES	SAVINGS	RECOVERIES			

APPROVED COPIES MADE:	SPECIAL AGENT IN CHARGE JEF	DO NOT WRITE IN SPACES BELOW
④ - Bureau (46-51211) 1 - USA, SDNY (ATTN: NEWMAN) 1 - USA, SDNY (ATTN: BLUMBERG) 2 - New York (46-6700)		46-51211-45 23 JAN 27 1969 REG-8 EX-115

Dissemination Record of Attached Report				Notations STAT. SECT.
Agency	1 - SBA	2 - RAO		
Request Recd.				
Date Fwd.				
How Fwd.				
By				JS: [initials] 2/7/69

62 FEB 14 1969
291

COVER PAGE

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to:

1 - USA, SDNY (ATTN: NEWMAN)
1 - USA, SDNY (ATTN: BLUMBERG)

Report of:

O. EUGENE SMITH

Office: New York, New York

Date:

JAN 24 1969

Field Office File #:

46-6700

Bureau File #: 46-51211

Title:

ET AL

b6
b7C

Character:

FRAUD AGAINST THE GOVERNMENT;
MISCELLANEOUS - CIVIL SUIT

Synopsis:

AUSA NEWMAN advised he desired to review this matter further prior to rendering criminal prosecutive opinion.

-P-

DETAILS:

On January 21, 1969, Assistant United States Attorney LAWRENCE W. NEWMAN, Southern District of New York, advised that he desired to review this case further and discuss this matter with Assistant United States Attorney STEPHEN KAUFMAN prior to rendering a criminal prosecutive opinion.

-1*-

SAC, New York (46-6700)

1/28/69

Director, FBI (46-51211)

 ET AL.
FAG; MISCELLANEOUS - CIVIL SUIT
(OO: NEW YORK)

1 - FOF
1 - Delayed Prosecution
Folder
1 - Mr. Shanley

b6
b7C

feh

A review of the Bureau file in this matter reveals that your office has been attempting to obtain a criminal prosecutive opinion from Assistant U. S. Attorney Lawrence W. Newman of the Southern District of New York for an inordinate period of time. If you have not already done so, you are instructed to submit a letterhead memorandum briefly summarizing this case and setting forth your efforts to obtain a prosecutive opinion. Include in that memorandum the date the Statute of Limitations will act to bar prosecution and include as your final paragraph words to the effect that the Department is requested to advise what action can be taken to bring this matter to an early and logical conclusion.

Bo

JFS:rpr *rpr*
(6)

REC 102

46-51211-46

MAILED 9
JAN 28 1969
COMM-FBI

19 JAN 29 1969

Tolson _____
DeLoach _____
Mohr _____
Bishop _____
Casper _____
Callahan _____
Conrad _____
Felt _____
Gale _____
Rosen _____
Sullivan _____
Tavel _____
Trotter _____
Tele. Room _____
Holmes _____
Gandy _____

123
1969
61 FEB 3 1969

MAIL ROOM ☐ TELETYPE UNIT ☐

B

SAC, New York (46-6700)

2-27-69

REC- 87
Director, FBI (46-51211) *H 7*

1 - Mr. Shanley

ET AL.
FAG; MISCELLANEOUS -
CIVIL SUIT
OO: NEW YORK

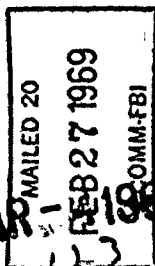
Re New York letter to the Bureau dated 2-19-69.

In view of the fact that the Statute of Limitations will commence to bar prosecution in this matter in April, 1969, New York should submit a report no later than 3-7-69, pointing out that fact in the details of that report.

In the event that the Assistant United States Attorney handling this matter makes no prosecutive decision in March, 1969, New York insure that a letterhead memorandum suitable for dissemination reaches the Bureau before 3-28-69. That letterhead memorandum should briefly summarize this case and again set forth the date the Statute of Limitations will act to bar prosecution. Include as the final paragraph of that memorandum words to the effect that the Department is requested to advise what action can be taken to bring this matter to an early and logical conclusion.

JFS:erg *erg*
(4)

Tolson _____
DeLoach _____
Mohr _____
Bishop _____
Casper _____
Callahan _____
Conrad _____
Felt _____
Gale _____
Rosen _____
Sullivan _____
Tavel _____
Trotter _____
Tele. Room _____
Holmes _____
Gandy _____



MAIL ROOM ☒ TELETYPE UNIT ☐

UNITED STATES GOVERNMENT

Memorandum

TO : DIRECTOR, FBI (46-51211)

DATE: 2/19/69

FROM : SAC, NEW YORK (46-6700)

SUBJECT: [REDACTED] ET AL
FAG; MISCELLANEOUS - CIVIL SUIT
(OO: NY)

b6
b7C

Re: BUREAU letter to New York dated 1/28/69

On 2/11/69 AUSA LAWRENCE W. NEWMAN, SDNY, advised SA O. EUGENE SMITH that he has discussed this matter with AUSA ALBERT J. GAYNOR, Chief, Criminal Division, SDNY, who advised him that prosecution in this matter should be immediately considered. Mrr NEWMAN advised that this case is to be reassigned to another AUSA for prosecutive attention.

On 2/19/69 AUSA DANIEL J. SULLIVAN, SDNY, advised SA O. EUGENE SMITH that this matter is now assigned to him. He advised that he is currently reviewing this matter

b3

[REDACTED] He advised that statue of limitations will act to bar prosecution in connection with a substantive violation in April, 1969 and in connection with a conspiracy violation in May, 1969.

In view of the fact that prosecutive action has been initiated a LHM is not being submitted.

New York will follow this matter closely with AUSA DANIEL J. SULLIVAN, SDNY.

② - BUREAU
1 - NEW YORK
(3)
OES:oes

REC-104

46-51211-47
FEB 24 1969

Let to NY
2-27-69
JFS:erg



FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN NEW YORK	DATE 3/3/69	INVESTIGATIVE PERIOD 2/3 - 2/19/69
TITLE OF CASE ET AL		REPORT MADE BY O. EUGENE SMITH	TYPED BY oes ^{b6} ^{b7C}
		CHARACTER OF CASE FAG; MISCELLANEOUS - CIVIL SUIT	

REFERENCE:

Report of SA O. EUGENE SMITH dated 1/24/69 at New York
 New York Letter to Bureau dated 2/19/69
 Bureau Letter to New York dated 2/27/69

- P -

LEAD:NEW YORKAT NEW YORK, NEW YORK

1. Will follow this matter closely with AUSA
 DANIEL SULLIVAN, SDNY.

2. Will follow civil proceedings with AUSA
 BRIAN GALLAGHER, SDNY.

ACCOMPLISHMENTS CLAIMED						<input checked="" type="checkbox"/> NONE	ACQUIT- TALS	CASE HAS BEEN:
CONVIC.	AUTO.	FUG.	FINES	SAVINGS	RECOVERIES			
								PENDING OVER ONE YEAR <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
								PENDING PROSECUTION OVER SIX MONTHS <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO

APPROVED	SPECIAL AGENT IN CHARGE	DO NOT WRITE IN SPACES BELOW	
COPIES MADE:		46-51211-48	REC-31
④ - Bureau (46-51211)			
1 - USA, SDNY (ATT: AUSA SULLIVAN)			
1 - USA, SDNY (ATT: AUSA GALLAGHER)			
2 - New York (46-6700)		12 MAR 5 1969	EX-105

Dissemination Record of Attached Report				Notations
Agency	1 - SBA	2 - RAO		
Request Recd.				
Date Fwd.				
How Fwd.				

By
53 MAR 10 1969

COVER PAGE A*

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to: 1 -USA, SDNY (ATT: AUSA DANIEL SULLIVAN)
1 -USA, SDNY (ATT: AUSA BRIAN GALLAGHER)

Report of: O. EUGENE SMITH
Date: 3/3/69

Office: NEW YORK, NEW YORK

Field Office File #: 46-6700

Bureau File #: 46-51211

Title:

[REDACTED]
ET ALb6
b7C

Character: FRAUD AGAINST THE GOVERNMENT;
MISCELLANEOUS - CIVIL SUIT

Synopsis:

AUSA DANIEL SULLIVAN, SDNY, advised [REDACTED]

b3

[REDACTED] He advised statute of limitations will
act to bar prosecution in April and May, 1969.

- P -

DETAILS:

On February 19, 1969 ASSISTANT UNITED STATES ATTORNEY (AUSA) DANIEL J. SULLIVAN, SOUTHERN District of New York (SDNY) advised SA O. EUGENE SMITH that this matter is now assigned to him. He advised that he is currently reviewing this matter [REDACTED]

b3

[REDACTED] He advised that statute of limitations will act to bar prosecution in connection with a substantive violation in April, 1969 and in connection with a conspiracy violation in May, 1969.

Mr. SULLIVAN further advised that AUSA BRIAN GALLAGHER, SDNY, is now handling the Civil phase of this matter.

*

F B I

Date: 3/13/69

Transmit the following in _____
(Type in plaintext or code)Via AIRTEL _____
(Priority)

TO: DIRECTOR, FBI (46-51211)

FROM: SAC, NEW YORK (46-6700)

SUBJECT:

ET AL

FAG;

MISCELLANEOUS - CIVIL SUIT
(OO:NY)

As of 3/31/64, the following companies had loan balances due to Roosevelt Capital Corporation, 600 Old Country Road, Garden City, New York:

Alho Corporation \$36,900.00
23 John Street
East Rutherford, NJ

Sorbel Company \$13,500.00
1151 N.W. 72nd Street
Miami, Florida

National Automation Corp. \$30,000.00
110 Denton Avenue
Garden City Park, New York

AUSA DANIEL SULLIVAN, SDNY, requested today that above companies be contacted to determine the complete history of the loans including date loan obtained, original amount of loan and whether loan has been paid off, date of last payment on loan and balance outstanding, if any.

- 3 - Bureau
2 - Miami
2 - Newark
2 - New York

EX-110

REC-125

46-51211-49

OES:kbm
(10)

2 MAR 14 1969

54 MAR 20 1969

Approved: _____

Special Agent in Charge

Sent _____ M Per _____

NY 46-6700

Roosevelt Capital also held \$30,000.00 investment in National Automation Corporation. AUSA requested National Automation be contacted to also determine the status of this investment.

AUSA preparing for early FGJ presentation of this case. Lead officer are requested to furnish results of investigation by 3/18/69, via airtel.

LEADS

MIAMI

AT MIAMI, FLORIDA. Will conduct requested investigation by AUSA SULLIVAN at Sorbel Company, 1151 N.W. 72nd Street.

NEWARK

AT EAST RUTHERFORD, NEW JERSEY. Will conduct requested investigation by AUSA SULLIVAN at Alho Corporation, 23 John Street,

NEW YORK

AT GARDEN CITY, NEW YORK. Will conduct requested investigation by AUSA SULLIVAN at National Automation Corporation.

April 17, 1969

Airtel

1 - Mr. Shanley
1 - FOF

To: SAC, New York (46-6700)
From: Director, FBI (46-51211)


ET AL.
FAG; MISCELLANEOUS - CIVIL SUIT
OO: NEW YORK

b6
b7c

New York has previously advised and reported that the Statute of Limitations will act to bar prosecution in this matter in connection with a substantive violation in April, 1969, and in connection with a Conspiracy violation in May, 1969. You were previously instructed by Bureau letter dated 2/27/69 to submit an LHM to the Bureau on or before 3/28/69 in the event that the AUSA handling this matter made no prosecutive decision in March, 1969. New York airtel to the Bureau dated 3/13/69 advised that the AUSA was preparing for an early Federal Grand Jury presentation; however, no further information in this matter has been received from New York.

New York is instructed to advise the Bureau concerning recent prosecutive developments in this matter by return airtel. In the event no prosecutive action has been taken, the LHM previously requested by the Bureau should be submitted with that return airtel.

JFS/lrk
(5)

Tolson	
DeLoach	
Mohr	
Bishop	
Casper	
Callahan	
Conrad	
Felt	
Gale	
Rosen	
Sullivan	
Tavel	
Trotter	
Tele. Room	
Holmes	
Gandy	

MAILED 21
APR 17 1969
COMM-FBI

APR 22 1969

MAIL ROOM ☐ TELETYPE UNIT ☐

REC 43

46-51211-50

19 APR 18 1969

F B I

Date: 4/18/69

Transmit the following in _____
(Type in plaintext or code)Via AIRTEL _____
(Priority)

TO: DIRECTOR, FBI (46-51211)

FROM: SAC, NEW YORK (46-6700)

SUBJECT:

ET AL

FAG; MISCELLANEOUS - CIVIL SUIT
(OO: NY)

Re: Bureau Airtel to NY dated 4/17/69

AUSA SULLIVAN has further advised that Statue of Limitations will not act to bar prosecution in this matter in connection with substantive violation prior to 5/15/69.

NY will keep Bureau advised of development regarding this matter.

(2) Bureau
1-New York

EX 110

OES:tjs
(4)

REC 4

APR 19 1969

Approved: [Signature]
Special Agent in Charge

Sent _____ M Per _____

56 APR 25 1969

b6
b7C

b3